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ABSTRACT

This book was written for educators involved in planning educational improvements. Each of the chapters provides a framework for understanding various factors affecting efforts to implement change, for example, how change can be planned and managed effectively, how people can be motivated successfully, how to improve management styles and individuals' behavior, and how to organize and mobilize both personnel and resources to successfully implement change. (Author/LD)

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HUMAN DIMENSIONS OF SCHOOL IMPROVEMENT

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Table of Contents

		Page
Foreword		i
Acknowledgements		iii
Introduction		v
SECTION I		
Chapter 1	Acting for Change	1
Chapter 2	Goals, Needs, and Values	9
Chapter 3	Planning for Change	21
Chapter 4	Defining and Measuring Success	41
SECTION II		
Chapter 5	Motivation and the Individual	51
Chapter 6	Applying Transactional Analysis	67
Chapter 7	The Context of Motivation	77
Chapter 8	"Hygiene Factors" and "Motivators" – Herzberg's Model	87
Chapter 9	Leadership Models	95
Chapter 10	Successful Leadership	107
Chapter 11	Identifying Leadership Styles	119
SECTION III		
Chapter 12	Managing for Organizational Success	133
Chapter 13	Applying Transactional Life Cycle Theory	149
Chapter 14	System Planning and Transactional Life Cycle Theory	161
Chapter 15	Summary	183
Bibliography		189

Foreword

For a number of years, the Administering for Change Program (ACP) of Research for Better Schools, Inc. has been active in the development of training strategies and materials for use by school district administrators who are or want to be involved in establishing an improvement capability in their schools.

Human Dimensions of School Improvement is one of the packages developed by ACP. In preparing this material, we decided to seek the expertise required in a group of authors who were not only fully conversant with current administrative theory but who were already helping school administrators to apply this theory in their schools. The following paragraphs briefly introduce the authors.

Roger Kaufman, Professor of Psychology and Human Behavior at the United States International University in San Diego, California, frequently acts as consultant to various schools. He has served as a member of the Advisory Board on Education and Training of the Secretary of the Navy and as President of the National Society for Performance and Instruction. He has also held the position of assistant to the Vice President for Engineering at Douglas Aircraft Company and has been a member of the faculty at both Chapman College and the University of Southern California.

David Feldman, Professor of Sociology at the United States International University, has served on the faculties of San Diego State College and San Jose State College. Among the most recent of his many activities as an educational consultant is a project involving collective bargaining at Southeastern Massachusetts University. His doctoral degree in sociology is from Stanford University and he has specialized in law.

Edward Snyder received his doctoral degree from United States International University and is currently serving as a full-time educational consultant to various schools and industries in Southern California.

Warren C. Coffey, currently at the University of California and formerly at Research for Better Schools, Inc., received his A.B., M.A., and Ed.D. from the University of California at Berkeley. He has served as a teacher and administrator in various public schools and schools of higher education. Before joining RBS, he served for a number of years as coordinator of the Bureau of Program Planning and Development, Title III ESEA, in the California State Department of Education.

Finally, it is fitting and appropriate to acknowledge the efforts of the individuals who served as project managers and editors throughout the development of these materials. Susan Merkin and Suzanne Root, Administrative Training Developers in ACP, managed this developmental effort to completion.

It gives us great pleasure to make these materials available to others.

Sanford Temkin
Director of Development
Administering for Change Program
Research for Better Schools, Inc.

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Introduction

These materials are designed to highlight some important factors which should be considered when attempts are being made to successfully implement educational change. Specifically written for educators involved in planning educational improvements, this book is suitable for use by principals, central office administrators, teachers, state educational agency officials, intermediate unit administrators, and students of educational administration and curriculum. The volume can be used by individuals or by groups which include both administrators and teachers.

The book summarizes some important concepts related to motivation, the ways people interrelate in job situations, and some ideas on how people can achieve their objectives. Most of the research on leadership, worker behavior, and motivation has been carried out in industrial settings by engineers, business managers, industrial psychologists, and sociologists. Educators have become consumers of the information gathered through industry-based research projects. In this book, we have attempted to adapt this industrially-oriented material for use by educators – partially through the use of examples describing hypothetical educational situations. We are *not* building theory; we *are* attempting to synthesize some useful ideas, concepts, strategies, and models which you might be able to use or modify to meet your particular needs. We owe a great deal to the various authors cited and, probably, to many others who have so influenced and shaped our thinking that their specific contributions have become impossible to identify.

Each of the chapters provides a framework for understanding various factors affecting efforts to implement change, how change can be planned and managed effectively, how people can be motivated successfully, how to improve management styles and individual behavior, and how to organize and mobilize both personnel and resources to successfully implement change. The content of the chapters is briefly outlined in the following pages:

SECTION I

1. ACTING FOR CHANGE. Although change is inevitable, most people tend to resist change; sometimes people will not decide to change unless suitable payoffs or rewards are provided. Here we examine some aspects of change and discuss several types of change. We try to show why it is preferable to

initiate change rather then simply react to demands for change. We also discuss the differences between student-oriented change and institutionally-oriented change.

2. GOALS, NEEDS, AND VALUES. Here we discuss the importance of involving all members of the educational team – students, educators, and members of the community – in specifying educational objectives. We discuss a formal process known as needs assessment which can be used in specifying appropriate objectives and which should involve all members of the educational team. A needs assessment is the first step in a systematic overall process of planning for successful change.

3. PLANNING FOR CHANGE. If we are to implement changes in a humanistic way, we should attempt to be responsive to the needs identified and specified as objectives. This chapter is designed to help you plan and manage change in a humane and systematic way. It suggests some planning procedures that you may find useful as you implement changes in your educational system. Planning is a process which involves both people and logic. In this chapter, various concepts and planning tools are discussed which you may find useful in your efforts to systematically progress from the results currently being achieved to the results desired.

4. DEFINING AND MEASURING SUCCESS. The importance of specifying *what* is to be achieved (the product), *how* best to accomplish our goal (the process), and *what* criteria will be used to determine success or failure are discussed. The uses of several kinds of evaluation to strengthen a change program are examined. We also discuss the relationship between productivity and humanism to assist you, as a leader, in providing the leadership required to achieve the objectives established in a planned, orderly, and humane way.

SECTION II

5. MOTIVATION AND THE INDIVIDUAL. Here we present some of the ideas about people and motivation developed by various humanistic management theorists. We discuss the humanistic people-oriented management theories, with special emphasis upon Maslow's fundamental contributions as expressed in his hierarchy of "needs" and upon Berne's concept of

Transactional Analysis. We also review some other concepts related to motivation which you may find useful – for instance, how people can be encouraged to change and why some current motivational devices are ineffective.

6. APPLYING TRANSACTIONAL ANALYSIS. This chapter presents exercises designed to enable you to practice analyzing hypothetical transactions (not therapy) in terms of the three basic ego states described in the concept of Transactional Analysis which is presented in Chapter 5.

7. THE CONTEXT OF MOTIVATION. In this chapter, we discuss managerial behavior in terms of some basic assumptions which influence the management approach in differing organizational environments. We examine some assumptions and approaches that are ineffective and others which seem effective in motivating people successfully and relate these assumptions and approaches to educational environments. Only by effectively motivating the people involved, can you plan and achieve educational improvements.

8. "HYGIENE FACTORS" AND "MOTIVATORS" – HERZBERG'S MODEL. Chapter 8 presents exercises designed to enable you to practice identifying both "hygiene factors" and "motivators", using Herzberg's theories to analyze hypothetical school situations. These exercises are based upon the information presented in Chapters 5 and 7.

9. LEADERSHIP MODELS. Leadership is a situational matter, rather than an inherent ability. Different kinds of leaders are required for different situations. We discuss several kinds of leadership as well as the characteristic behavior (management style) of different types of leaders. We introduce the Blake and Mouton managerial grid and the Ohio State leadership grid which can be used to describe the management style of a given leader.

10. SUCCESSFUL LEADERSHIP. In this chapter, we consider some aspects of successful leadership. We briefly discuss personality and how important it is for managers to develop an awareness of the concerns, expectations, and perceptions of their subordinates. This awareness will help managers to improve their leadership skills and thus become more successful in managing change.

11. IDENTIFYING LEADERSHIP STYLES. Chapter 11 presents exercises designed to enable you to practice assessing management styles, applying the information presented in Chapters 7 and 9 to hypothetical school situations.

SECTION III

12. MANAGING FOR ORGANIZATIONAL SUCCESS. In the first two sections of this book, a great deal of conceptual information is presented which, we feel, provides a basic foundation for understanding the interpersonal behavior, motivational strategies, and planning tools required to implement change successfully. Here we discuss a conceptual tool – Transactional Life Cycle Theory – which you may find useful in assessing current transactions, deciding how shifts in behavior may improve those transactions, and what you can expect if you and your subordinates do decide to change.

13. APPLYING TRANSACTIONAL LIFE CYCLE THEORY. Chapter 13 presents exercises designed to enable you to practice analyzing various hypothetical situations, using a Transactional Life Cycle Theory chart. These exercises are based upon the information presented in Chapter 12.

14. SYSTEM PLANNING AND TRANSACTIONAL LIFE CYCLE THEORY. Chapter 14 presents exercises designed to enable you to practice coordinating the concepts of system planning and Transactional Life Cycle Theory in terms of a hypothetical school situation. These exercises are based upon the information presented in Chapters 3 and 12.

15. SUMMARY. Here we attempt to provide a brief review of the topics discussed. If these materials provide you with useful information and the incentive to try new approaches and processes in your own work, our efforts will have been worthwhile.

At the end of the chapters without exercises "key concepts" are provided for summary and review.

Section I

Chapter 1

Acting for Change

COPING WITH CHANGE

Change is inevitable. In *Future Shock* (1970), Toffler documents the fact that we should expect to experience a great many basic changes whether we want them or not! It is scarcely necessary to discuss in detail the extensive changes taking place in our society and in our schools. School codes are being revised. Citizens, students, teachers, and government officials are demanding change – everyone is demanding change. School policies are becoming more numerous and complex. (See, for instance, the Davies-Brickell System and *Accountability: Policies and Procedures* by Lessinger, Parnell and Kaufman, both published by Croft Educational Services.) Patterns of employment and leisure are being altered, as are the requirements for survival and contribution in our society and its schools. Each succeeding change places new demands upon us – as people and as educators.

Books describing curriculum, educational materials and technology, staffing patterns, management patterns, and governance keep flying off the presses. At many professional meetings of educators change is a major point of discussion and emphasis. School personnel are expected to be parents, teachers, supervisors, counselors, philosophers, physicians, wizards and saints. Community members expect educators to do all of the things that parents and others are unable to do – and to do them more quickly with less money.

The truth is that change *is occurring*. As Kaufman (1970, 1972) points out, however, having accepted that fact we can choose the course of action we are going to take. We can be the victims of change or we can become participants in and managers of change. We can "react" to change and always be on the defensive or we can "act" and become leaders in the change process.

REACTING TO CHANGE

Reaction is the most usual approach to dealing with change in educational settings. For example, state orders to school districts to reorganize or court orders to

desegregate the schools or to provide quality education for all children including the handicapped require implementation, and educators find themselves forced to change. As a result of decisions made by others, program changes are made and physical facilities are changed to accommodate the new programs. When we are forced to change in this way, we lose the opportunity to participate in planning change. Instead of controlling change, we become the victims of change. Being a victim, however, does provide some short-term psychological benefits or advantages. We can complain bitterly about being victims of various changes and perhaps receive some sympathy, but such a reactive approach to change precludes the full use of our insights, our expertise, and our abilities. If we do not participate in planning change, we are the mere "tools" of change and are left feeling exploited, alienated, and dissatisfied.

It should be noted that coping with change reactively is not always negative; we believe, however, that it is usually preferable to initiate change – this approach makes it more probable that you will be able to control change, rather than have externally imposed changes guide your actions.

ACTING FOR CHANGE

The alternative to merely reacting to change is to become "agents of change," taking part in the conception and inception of change by determining what changes are required and planning changes which meet the needs of students, citizens, and educators. We can be the architects and builders as well as the inhabitants of a changed environment – the masters of change rather than victims. Still, we will decide to change only after we have been completely convinced of the advantages of that decision. In his excellent book *Decision Therapy*, Greenwald (1973) discusses a decision to change as involving seven steps:

1. State the problem.
2. Determine which past decision helped to create the problem.
3. List the payoffs for the past decision which gave rise to the current problem.
4. Determine the context of the past decision.
5. Examine alternatives to the past decision.
6. Choose an alternative decision and implement it.
7. Support the new decision.

Simple? Of course. Effective? Yes. In deceptively simple terms, Greenwald describes a type of therapy which individuals can follow successfully IF THEY CHOOSE TO CHANGE. The choice must be their own; they can change their

attitudes and their behavior by understanding that past decisions result in current payoffs (even "bad" ones) and that different decisions can result in new, hopefully better, payoffs. Change can only go forward. Although the past cannot be changed, it can be reinterpreted and used as a guide in approaching the future.

Greenwald's model is supported by the fact that by active participation in the change process people can and do change. Playing "victim," although it does provide some payoffs, does not lead to successful change. As long as a person is satisfied with his current status – including the payoffs he is receiving – he will continue to be a victim of change.

This approach is useful not only for people in therapy but for everyone affected by change. We feel that this approach can be especially useful for educators for change is a reality. To cope with change successfully, educators must decide to become managers of change. Effective management requires behavior that is conscious and self-imposed.

TYPES OF CHANGE

INSTITUTIONALLY-ORIENTED CHANGE

Most changes currently seen in educational settings tend to be changes designed for the convenience of the institution. These changes enable school personnel to "handle" children more efficiently – by improving attendance, record-keeping, and methods for presenting learning material to children. Generally, such changes tend to make things easier for school personnel. Within the school system, educators are the power structure, the Establishment.

"Institutionally-oriented" change primarily serves the educational establishment. To support this approach, we have developed some interesting rationalizations (e.g., happy teachers are good teachers), but usually such changes are not based on solid evidence of their effectiveness and efficiency in changing student skills, knowledge, and attitudes. As educators, we often tend to place our requirements first and those of the students second. This is not always the case, of course, and it would be unfair to rank all educational change as institutionally-oriented. After reading the next section on student-oriented change, you may want to consider recent changes that have been made in your schools in terms of whether they have been institutionally-oriented or student-oriented.

STUDENT-ORIENTED CHANGE

A different approach has recently received fairly broad acceptance in connection with planning for change. Often referred to as "humanistic" or "person-centered," the most important ideas in this approach are that schools are for students (learners) and learning and consequently the primary focus of change should be the unique characteristics and needs of the students.

The many learning materials developed for individualized instruction (Individually Prescribed Instruction, Individually Responsive Instruction, etc.) are based upon "student" or "person-centered" concepts. This emphasis on the individual also places the student at the center of change decisions and the change process. With individualization, the schools, the facilities, the curriculum, the teachers, and the administrators are viewed as potential methods and means through which responsible learning may be measurably improved. The student comes first with the rest of the educational establishment designed and orchestrated to serve him as well as possible.

We support the trend toward student-oriented change. We are aware of increasing public concern with the failures of education. In his book, *Every Kid a Winner: Accountability in Education,* Lessinger estimates that 25 percent of all school-age children are dropouts of some kind, and this may be a conservative estimate. We simply are not as responsive to our students as we could be, and we are creating alienated individuals and potential failures at an alarming rate. Of course, we can blame our shortcomings on factors over which we have no control – e.g., broken homes, alienated citizens, lack of money, or lack of resources – just about any excuse can be used. The fact remains that we spend a great deal of money and time in educating children and much improvement is still required.

Excuses may be useful (and reassuring), but they are directly related to the "victim" game. They will not support our decisions to change a situation when appropriate changes are required. Greenwald points out that we should recognize that new payoffs could be much better than current payoffs and decide to examine and select new ways of improving our responsiveness to students. We believe that as educators we should change because our payoffs (if only in psychic income) will improve as we begin to feel that we are improving the human condition. By abandoning attempts to rationalize our failures, we can build upon current successes as we seek positive change which will measurably benefit both students and educators.

THE DEMAND FOR CHANGE

Society develops a variety of institutions as the means of meeting its goals. As educators, we serve at the pleasure of the society which supports us. When institutions fail to serve the purposes for which they were developed, the society replaces them with other institutions to provide the desired services. The family physician and the small corner grocery store are two of the institutions that have been replaced as human needs and preferences have changed. Medical specialists and supermarkets have become t[illegible]norm in contemporary society.

As educators, we are now running the risk of replacement as the result of attempts to replace our existing monolithic public school systems with new forms of education (e.g., free schools, store-front schools).

We have described the current situation simply in terms of sociological observations and common sense. Although we feel this is a realistic assessment, at the same time it should be emphasized that we in education do not *have* to fail. We can achieve improved payoffs for students, citizens, and ourselves through student-oriented changes which we can design, implement, evaluate, and revise on the basis of positive action plans.

HYPOTHETICAL EXAMPLE

Green Tree, with a population of 20,000, is a midwestern agricultural community with a mill to process organic crops. The city has two elementary schools, a junior high school, a high school and a junior college (part of a state-wide system). All of the schools are over-crowded and running on shifts because school board members expected the declining birth rate to lower enrollments. Even now they are convinced that eventually this will happen. In the meantime, they see no necessity to provide more space just to teach reading, writing, and arithmetic. Although the school board members expect most of the students to go into the mill or do farm work, many of them leave Green Tree to go to a large city some distance away.

The teachers in the Green Tree schools average nine and one-half years of service. A great many members of the teachers' organization have no interest in attending professional conferences or in organizing in-service training programs. They are willing to continue with the same programs and they tend to ignore student achievement data.

Some of the Black parents have become upset recently because they feel that their children are not learning very much and are not able to get good jobs when

they graduate. They have picketed the schools and complained about the situation at school board meetings, but nothing has changed. Recently, statisticians from the State Department of Education compared the Green Tree High School graduates with other high school graduates in the state and found that the Green Tree graduates ranked in the lowest three percent on substantive skills, employment levels, and income five years after graduation. The citizens reacted to the publication of this information by attempting to have the school board fire the superintendent. The board refused.

In an attempt to reduce the pressure being brought upon him, the superintendent decided to have every teacher prepare measurable objectives for all subjects. Many of the teachers objected strenuously, contending that this approach was certain to dehumanize the educational system. In response, the superintendent retreated from his original position and told the teachers they would only have to develop objectives for mathematics and spelling. The teachers prepared some objectives but continued with their usual teaching methods.

POSSIBLE ANALYSIS

Green Tree has an institutionally-oriented school system. The great majority of school personnel seem unable to recognize the fact that the development of basic skills alone limits the ability of their students to perform well when they leave the school system. Here, change has been made in reaction – a minimal reaction at best.

Members of both the minorities and the majorities in Green Tree can expect similar futures – they are not being prepared to earn their share of the rewards that would be available to them if they had received a more responsive education. When changes were made, it was in reaction to a State Department of Education study. First, members of the community reacted by trying to have the school board fire the superintendent. Then the superintendent reacted by instructing the teachers to implement a change which was not based on a systematic and well thought out plan to improve student skills, knowledge, and attitudes. The teachers reacted by dismissing the suggested innovation as dehumanizing – an inappropriate but predictable reaction to an incomplete plan for change. No real change occurred and the school system continued to operate as it had previously.

A more effective approach could have been taken if school personnel had decided to evaluate student and teacher performance themselves and to use the information gathered in an effort to improve the teaching-learning environment. The superintendent could have suggested this idea, discussed it with his staff, and allowed them to take part in the decision-making process – this would have given

the whole educational team an opportunity to consider the payoffs available if evaluation and planned change were built into school operations. A continuing procedure could have been developed to make sure that the students received first consideration; responsive changes to meet student needs could have been developed, tested, and either discarded or installed depending on how well the students reacted to those changes.

Unfortunately, the school personnel in the Green Tree School System failed to act and the board has been notified by the state accrediting association that the Green Tree schools may be placed on academic probation next year because of their consistently poor performance. Members of the school board are discussing the possiblity of having an educational company take over the junior high school on a performance contracting basis. The teachers are considering a strike.

A FEW KEY CONCEPTS

CHAPTER 1: ACTING FOR CHANGE

Change is inevitable.

Educators can either act to bring about change or react to change – we believe that educators should act rather than react.

Like most other educational activities, educational change tends to be institutionally-oriented. Educational activities will become more effective and efficient if they are student-oriented.

When social institutions fail to serve the purposes for which society established them, sooner or later they will be replaced by more effective institutions. The replacement of our current educational system should become less likely if positive, student-oriented changes are intiated in our schools.

Chapter 2

Goals, Needs, and Values

INSTITUTIONAL GOALS

The basic problem of goal achievement, common to all human societies and all social institutions, has two aspects: (1) ensuring enough predictability and conformity in human relations to enable everyone to know what to expect from others and to carry out the tasks necessary to achieve social or organizational goals and (2) providing the degree of flexibility required in the society or organization which enables individual members and the society or organization to react successfully to new and changed conditions.

Toynbee, the British historian, noted that the inability of various societies to respond adequately to new challenges caused the downfall of some of the greatest civilizations of history. Similarly, the failure to create an acceptable level of predictability or conformity in human relations makes it impossible for a society to successfully undertake any organized efforts to achieve its goals.

There is an inherent incompatibility between the requirements of a society or organization for flexibility and its desire for stability, predictability, and conformity. To enhance human predictability and achieve organizational goals, it is necessary to limit the range of acceptable individual behavior.

In one sense, institutions and organizations exist only to perform the tasks required to achieve social goals. They develop in response to a perceived challenge, an environmental demand, or a social value. Public education, for example, developed into an organization, a social institution, and an organized way of doing things in response to the desire of society to provide free public education for all children from Kindergarten through Grade 12.

All bureaucratic organizations, including the social institutions of education, have both explicit and implicit goals. Usually, the explicit goal of a private corporation is to produce and sell products and services at a profit; the explicit goal of an educational organization is to produce an educational product – a "learned" student. Implicit organizational goals include meeting the desires of individual employees for security, recognition, and self-realization.

Many behavioral scientists have observed that managerial personnel in large organizations often exhibit less concern with self-realization by the members of their organization than with the organizational goals of power and survival. When attempts are made to foster the achievement of organizational goals without considering individual desires (through rewards, punishments, coercion, patriotic appeals, and exhortations to conformity), individual members of the organization are expected to accept things as they are or risk being accused of disloyalty.

In many enterprises organizational loyalty is interpreted as an understanding that if a person does not rock the boat, does not suggest innovations or initiate change, his or her loyalty has been demonstrated and will be rewarded. In this way, organizational survival is pursued by maintaining established ways of doing things. When individuals propose changes, very often (and usually unconsciously) it is considered threatening because change in and of itself implies new ways of doing things, while the way things are currently being done is often perceived unconsciously as the only proper approach and, therefore, as necessary for organizational survival. Thus, the idea of changing current procedures is perceived as a threat to the organization.

Taking these perceptions into account, it is not surprising that suggestions for change often provoke an emotional reaction from managers, especially when they did not initiate the changes suggested. Far too often, what they view as appropriate changes are those which require even greater conformity with traditional procedures. The result is that the means – particular practices or ways of doing things – become more important than the ends – the products or services.

Sometimes this strong inclination to maintain traditional processes and practices is particularly true of educational institutions. The processes (means) become more important than the products (ends). This phenomenon is what students of organizations refer to as "the subversion of organizational goals to the maintenance of organizational means."

Changes in processes result in changes in relationships, responsibility, authority, and sometimes the loss of jobs. These changes are strongly resisted, both consciously and unconsciously. It is not surprising that, where strong institutional commitment to traditional processes exists, organizations are unable to meet new challenges; they are replaced by other institutions which can fulfill the purposes of their society more effectively.

NEEDS ASSESSMENT

As we have seen, a primary characteristic of social institutions, no matter how idealistic their creed or charter, is that the people involved usually rank the survival

of the organization above everything else. People want to survive – and organizations are made up of people. To survive, all social institutions, including school systems, develop roles for individuals which are designed to perpetuate the institution. If changes are undertaken, both roles and functions have to change, making change appear threatening. Since we know that both individuals and organizations usually prefer to maintain the status quo, planning for change cannot be approached in a casual or informal way. If planning is treated casually, the results we achieve will not lead to change, although the appearance of change may be achieved. (Someone has commented that most of the government funds invested in innovation have proved that innovations are possible without change!) In Chapter 1, we expressed our belief that change should be student-oriented rather than institutionally-oriented. We should be careful not to present old procedures in new terms and expect that student-oriented change will result. A very useful tool for determining and planning the high priority changes required is the formal process referred to as needs assessment (for example, see Kaufman, 1968, 1970, 1972; Sweigert, 1971).

What is a need? We can define an educational need as the gap which exists between a current set of outcomes (student skills, knowledge, and attitudes) and a desired or required set of outcomes (Kaufman, 1972).

Needs are not anything we want, nor do they suggest solutions (i.e., team teaching, differentiated staffing, individualized instruction or any of the many other potentially valuable alternatives) to our problems. Needs are simple statements that describe the gaps between current and desired outcomes – gaps which we are interested in closing.

NEEDS ASSESSMENT AS GAP ANALYSIS

We suggest that the type of needs assessment that enables us to specify the gaps between current and required results can provide a useful basis for planning. Gap analysis can be used to determine and justify both the current position and the proposed position. This analysis can be the first step in a process that can result in predictable and successful change.

The gap analysis approach can be used to define the problem before solutions are even considered, let alone adopted – on the assumption that a problem must be defined before it can be solved. In education, we often undertake solutions before finding out what the problem really is, wasting valuable resources on solutions which are inappropriate and ineffective.

What basic steps are involved in needs assessment? Kaufman lists the following steps in the chapter entitled "Determining Educational Needs" in his book, *Educational System Planning:*

1. Decide to plan.
2. Identify problem symptoms or obtain a request for a needs assessment from the educational agency.
3. Identify the domain for planning (e.g., school district, school, class, individual student).
4. Identify and select the most appropriate needs assessment tools and procedures, and encourage all members of the educational team to participate in the planning effort – include students, members of the community, parents, and implementers (usually educators).
5. Determine current outcomes, focusing primarily on the student (his physical, intellectual, and developmental characteristics) and considering various elements of the context in which change is to occur, the society, and the educators. Make sure that current outcomes are stated in measurable performance terms.
6. Determine what outcomes are desired, again focusing primarily on the student. These outcomes should also be stated in measurable performance terms.
7. Reconcile any differences among members of the planning group; i.e., identify and reach agreement on needs and desired outcomes so that students, members of the community, and educators reach a consensus.
8. Assign priorities to the needs identified and select the needs on which action will be taken.
9. Make sure that needs assessment becomes a continuing process to assure that your educational planning efforts are always up-to-date and consistently reflect the real world of the students and other members of the educational team.

HOW CAN NEEDS ASSESSMENT BE USED?

By conducting a formal needs assessment similar to the one described above, the educational change manager can make sure that the goals, objectives, and values of all members of the educational team have been considered and that the goals and objectives planned are appropriate for the students, rather than just objectives that the educators and members of the community would find acceptable. Needs assessment provides a way of developing a partnership among all of the participants

in the planning effort so that their perceptions as well as institutional requirements for survival (see Kaufman, Corrigan, and Johnson, 1969) are considered when plans for change are being prepared. Implementing a needs assessment should provide both shared goals and a basis for planning change that is rooted in reality, rather than one which reflects the biases and/or orientations of the members of any one of the participating groups.

VALUES AND VALUE ANALYSIS

To be useful, a needs assessment effort should include the collection of information on the values and value patterns of all members of the educational team. Although it might seem a bit contradictory, organizations and values are related. Usually we think of organizations as cold, impersonal, fact-oriented, and monolithic – an organization relies on facts, according to popular myth, and only facts and results are important to either the managers or the board of directors. This perception is inappropriate because organizations rely upon people who differ in both their values and their valuing behavior.

To consider organizations in terms of strict logic will result in inaccurate assessments if the unique variability and emotional reactions of the people in the organization are not taken into account. For logic to be applied effectively, human values as well as organizational purposes must be considered and effectively merged so that humanism and productivity can be achieved.

People in business and industry have long realized that facts and values are related. In industrial settings, for example, Value Engineering is commonly used to provide an answer to the question "What is the easiest, most economical way to accomplish this task?" The human element is an essential part of the task of value analysis – from the standpoint of both the consumer and the producer (Drucker, 1964).

Similarly, the people in educational organizations also should integrate facts and values. In an educational setting facts involve curriculum, school, staff, materials – everything associated with the growth and development of the product – the student. Other factors, however, affect this ultimate product. Sometimes an organization is able to produce a better product because the goals of the individuals involved are very similar to the goals of the organization. The extent to which an individual accepts organizational values and goals affects his or her satisfaction and productivity.

The internalization of organizational objectives by an individual can be facilitated through subgroups within the organization whose values support organizational goals. Likert (1967) comments upon the role of the subgroups within an organization and stresses the importance of involving all the members of an organization in decision-making tasks. His emphasis on subgroups is based on the effectiveness of group processes in strengthening the motivation of individual members of the organization.

Argyris (1969) argues that changes in the attitudes and behavior of individuals are necessary before organizational change is possible. To him, lasting change cannot be imposed; it can be achieved only if all members of the team jointly work out their problems in a permissive atmosphere where it is understood and accepted that conflicts of values exist among and within individuals.

We associate both value expression and self-identification with motivational patterns which support the internalization of the goals of an organization and its subgroups. It is more important for an individual to be able to identify with the major purposes of the organization than with the organization *per se*. Before the desired congruence between individual and organizational goals can be reached, existing subgroup goals must be considered. For example, although a teacher may have internalized some of the values of the teaching profession, he may not yet have internalized the values of the specific school in which he is teaching. Similarly, the values internalized by the teachers of a specific grade level may be more closely aligned to the values of other teachers of the same grade than to the values of teachers of other grades or to the values supported by personnel throughout a specific school.

As you can see, the internalization of subgroup values is related to identification with significant others (group peers) who share common goals. Individuals assume (acquire) the values of their subgroup (partly because they identify with their peers and do not want to be perceived as different from others in their group) and tend to model their behavior and goals in terms of perceived group values. Some union members, for example, might support a group decision to strike even though as individuals they do not feel that a strike is justified. Subgroup identification enhances organizational effectiveness only to the degree that congruence exists between group objectives and organizational objectives. Three activities are essential in developing this congruence: (1) participation in decision-making related to group objectives, (2) active participation in group tasks (performance), and (3) sharing the rewards for group accomplishments.

Educators are constantly confronted by the problem of values, since the school is one of the primary institutions which is expected to transmit values from one

generation to the next. As Carl Rogers points out, educators are greatly concerned about values. The existing uncertainties about value preferences seem to result from conflicts in the personal goals of individuals. The value systems accepted by our parents and grandparents no longer appear as absolute as they did in the past. Using the definitions of Charles Morris to formulate his own observations, Rogers (1969) lists three distinct uses of the term "values." The first use is related to preferential behavior which he calls "operative values." These values are expressed by a tendency to prefer one subject or objective over another. Neither cognitive nor conceptual thinking is required when operative values are being applied. Rogers refers to the second use of the term as "conceived values," which reflect an individual's preferences for symbolic values. "Honesty is the best policy," for example, is a conceived value. The third use of the term is referred to as "objective values." This term covers whatever an individual considers objectively preferable, regardless of its perceived desirability.

In school environments, many variations in attitudes and values exist among and between students, teachers, and administrators. Even among the schools in a given district differences can be found in attitudes on grading, promotion, grouping, etc. Differences in values and their behavioral manifestations appear in individuals and groups as well as in organizations. That is, each school system is a unique social institution within which various subgroups exist. Each subgroup (educators or students) brings to its specific social institution (school) particular values, which coexist with the values being taught in that school.

Many factors seem to influence the interaction between home and school values. Among these factors are social class, religion, ethnic background, and geographic location. According to Malpass, the major influence may be related to socio-economic status. Students of similar social classes, regardless of ethnic groups, tend to have similar value systems which support similar school behavior. On the other hand, differences in school behavior increase with greater social class differences between students.

In school situations, especially in school districts where most of the students are from lower-class families, conflict occurs because of the differences between middle-class teacher values and lower-class student (family) values. The net effect is that frequently students from a lower-class socio-cultural background/environment are penalized in school for behavior which does not reflect middle-class values. Since an educational institution is expected to socialize the students, it is important to note that the process of socialization requires changes in role behavior and role relationships. As this process increasingly reflects middle-class values, lower-class students tend to grow farther apart from their families and friends. The symbols

such students once accepted, the values they once considered important, and the aspirations they once entertained begin to change as teachers structure the school learning environment on the basis of middle-class values. In doing so, the teachers also communicate to the students the behavioral expectations of society in general – both knowingly and unknowingly.

The fact that people tend to identify with others explains, in part, how values are acquired without direct teaching. In a school environment, the values of significant others (teachers) are acquired, and certain behaviors are reinforced. Malpass (1967) notes that two types of influence operate within the classroom. Indirect influence is based on reinforcement and self-concept building, while direct influence is based on inflexible processes which tend to increase student dependence on the teacher. Both the indirect and direct influence of the teacher are largely based upon the teacher's internalized values and standards.

Haiman (1951) notes that social values and preferences cannot be traced to differences in the chemical or physical makeup of different people; rather, they develop from a conditioning process which begins in early childhood and continues throughout life. Values become associated with personal experiences which directly or indirectly influence individual behavior. In a school setting, conflict-producing situations often arise when the value preferences of one group differ greatly from those of another group. The resolution of such differences, from the principal's standpoint, can be achieved by identifying a *basic value* which both groups accept. This common value provides a starting point for establishing common goals acceptable to both groups.

There is another dimension of group dynamics that should be considered in a discussion of role relationships, conflict resolution, and role structuring. Of course, the principal should be aware of the values and preferences of all of the groups involved in the educational process (students, parents, teachers). The principal also should be familiar with various techniques which can be used to reduce or ameliorate conflict situations. The central point in group dynamics, however, when competing values are a problem, is that the participants are neither wholly competitive nor wholly cooperative. Total competition implies that the individuals or groups in competition have no values in common, while total cooperation is only possible when those involved have *no* fixed values and/or preferences which are in conflict with the values of others (Haiman, 1951).

As an educational leader, a principal, for instance, bases her decisions on her knowledge and personal values. These elements affect both her awareness of a problem and the solution she proposes. These decisions and solutions reflect the principal's view of the world (her personal values), the degree to which she feels

those decisions reflect community preferences (values external to the school), her inclusion of staff members in the decision-making process (values internal to the school), and her consideration of district policy/philosophy (institutional values). Although values are not the only factor to be considered in reaching a decision or selecting a solution, knowledge (and its application to particular problems) is affected by the value assumptions associated with specific problems and solutions. By considering the values associated with one alternative versus those associated with another in relation to probable effects on members of the educational team, the principal can weigh the probable consequences of her decision in terms of relative risk. The more representative and complete the information available to an educational leader is – in terms of values, aspirations, and preferences – the lower the risk of failure (Stufflebeam, 1971).

Stone and Farberman (1970) observe that different subcultures (or subgroups), in addition to having different goals, value those goals differently. By studying a group, insight can be gained into the value systems of its individual members.

Group (subculture) value structures can be analyzed by studying the perspectives of particular groups. That is, a person always considers a situation on the basis of his or her own frame of reference (value perspective). This perspective varies from group to group. In an educational setting, the social context of the school defines areas of acceptable behavior. School norms or values may not be the same as those accepted in the groups to which a student's family and peers belong.

In analyzing values, an educational leader should keep in mind that the school itself (as a social organization) can determine the number and types of opportunities provided for individuals to achieve their higher or more acceptable potentials. Attempts to shape human values on the basis of existing school perspectives, however, may result in frustration and anxiety. Making such demands on the student may instill apprehension, and/or create, nurture, and reinforce perceptional rigidity in the values, role perceptions, and role relationships accepted by various groups.

Educational managers, to be successful, should use more democratic processes which involve all members of the educational team – teachers, parents, students, and members of the community – in activities designed to resolve common problems (Rucker, Arnspiger, & Brodbeck, 1969).*

*Training programs for educators interested in identifying student and community attitudes towards the school(s) are available from Research for Better Schools. The titles of these programs are *Pupil-Perceived Needs Assessment* and *Surveying Your Community: An Approach to Community Involvement in Schools.*

VALUE ANALYSIS

The values people accept influence their d[illegible]sions to act in a certain way when a number of alternatives are available. Valuing is t[illegible]rocess by which a person makes a choice among possible alternatives. All people hav[illegible]lues, and the values they have and act upon can be of critical importance when brought together within a school or school district.

Rucker, basing much of his work on the ideas of Harold Lasswell, has defined eight value categories which we have found useful. These value categories are love, respect, skill, understanding, influence, goods and services, well-being, and responsibility. Lasswell's research indicates that everyone has values in these cateogries – in varying degrees. Differences among people can be defined in terms of the extent to which they emphasize particular values more than others.

As you can see, comments such as "he has no values," are inaccurate – although people do differ in the relative emphasis they place on various values, everyone does have a specific set of values (which, of course, are subject to continuous change).

When working with others, it might be useful to prepare a simple form based upon Rucker's eight value categories to note your own value pattern and those of the other people involved. You could list the eight categories and rate each person on the basis of a seven-point scale ranging from "almost no importance" to "paramount importance." Using such a scale to rate our own values and those of our colleagues provides a way for us to compare our respective values and valuing patterns; this is value analysis.

HYPOTHETICAL EXAMPLE

School personnel in the Woodside School District decided to set up a program designed to provide minority youngsters with improved chances for success. A cultural understanding program was created to present the unique cultural characteristics of various minorities and develop minority student pride in their heritage. Native dancers and artists were brought in from the countries where the various minorities had originated and they worked with minority students for a year. The results of the independent evaluation included in this program, however, showed an increase in t[illegible] cultural isolation and alienation of the minority students enrolled in the program. The teachers and administrators were stunned by these findings.

POSSIBLE ANALYSIS

No formal needs assessment had been carried out to determine what outcome gaps actually existed between the minority and majority group students. Also, neither the values nor the valuing behavior of the students were considered. Thus, a solution was attempted before the needs (outcome gaps) had been identified and alternatives had been considered. What happened in the Woodside School District was that the majority group students (who heard what was going on in the special classes) were reminded that the minority students really were different – they even had their own dances and songs. Unfortunately, the differences among the various student groups were amplified, and their respective values were made to seem even more different than they had in the past.

A FEW KEY CONCEPTS
CHAPTER 2: GOALS, NEEDS, AND VALUES

Social institutions are developed by society to pursue the goals of society.

Once established, institutions tend to emphasize institutional survival.

In their efforts to survive, social institutions may become inflexible and, thus, resist change as threatening.

Social institutions, if they are to continue to exist, must constantly adapt to requirements for change. Such change should be initiated in a systematic way.

When a social organization is no longer responsive to perceived needs, society will seek other institutions to achieve social purposes.

Needs assessment is a formal analysis in which current outcomes are compared to desired outcomes to determine what needs or gaps exist.

A useful needs assessment should include all members of the educational team – students, educators, and members of the community – who work together to achieve consensus on goals and purposes. This provides a basis for planning change that is rooted in reality.

In education, we often undertake solutions before identifying the problem – wasting valuable resources on solutions which are inappropriate and inefficient.

Becoming aware of the values and value patterns of various members of the educational team strengthens needs assessment.

Value sharing generally strengthens attempts to initiate successful change, while the failure to develop some shared values and value patterns may lessen the prospects for success.

Chapter 3

Planning for Change

INTRODUCTION

We noted earlier that people can cope with change in at least two ways – they can react to change or they can act and become leaders in the change process.

In this chapter you will find some useful concepts related to planning successful student-oriented change, assuming that you have some goals and objectives which can only be achieved through change.*

Considering the values and valuing behavior of all members of the educational team (students, educators, and members of the community) and the educational needs identified (gaps between current results and desired results), we should be able to determine where we are now and what we want to achieve in terms of results or outcomes.

Figure 3.1

We can approach our task of planning for change by viewing these two positions as the opposite ends of a bridge; we have to determine what is required to actually connect the two. We can do this using measurable performance objectives such as those described by Mager (1962) in *Preparing Instructional Objectives.*

*For more detailed information on establishing desired student outcomes, refer to *Curriculum and Instruction: Strategies for Improvement* available from Research for Better Schools.

Just to make sure that our objectives are expressed in measurable performance terms, we might make up a simple "objective checklist" like the one shown below.

Every objective should include the following information and be stated so that there is no possibility of confusion or misinterpretation:

1. It should state exactly who will display the behavior or performance required.
2. It should state exactly what behavior or performance is required.
3. It should state exactly what criteria will be used to assess performance.
4. It should state exactly the conditions under which the required behavior will be displayed.

Figure 3.2 Suggested Checklist for Measurable Performance Objectives

If your goals and objectives were appropriately expressed in a needs assessment, you should have a reasonably complete statement of the results desired. Such a statement is sometimes referred to as a mission objective (Kaufman, 1972). If the objective has not yet been stated in detail, that should be done so that you will know where you are going and how to determine whether or not you have achieved your objective.

Just as all planned changes should be expressed in terms of measurable objectives (mission), measurable terms should also be used in writing the objectives for specific milestones along the way.

ESTABLISHING EN-ROUTE OBJECTIVES

Assuming that you have determined where you are (in terms of results) and what you want to achieve (also in terms of results), milestones along the way should be specified – these milestones can be referred to as en-route objectives. They have

the same characteristics as other objectives and the checklist suggested in Figure 3.2 can be used to assure that they are complete. For example, *an objective* might be:

> To achieve a level of reading competence at graduation in minority children and majority children so that it will be impossible to distinguish among students on the basis of color, race, creed, sex, or national origin. That is, 80 percent of the children will answer correctly 75 percent of the items on state adopted reading tests. Whether or not differences in reading ability exist will be determined by a licensed school psychologist (minimally twice per year at no more than five-month intervals and no less than three-month intervals) with the data supplied to the Associate Superintendent for Instruction within five days after test administration.

This hypothetical mission objective supplies information on what is desired in terms of results or outcomes. This mission objective was based (hypothetically) upon a needs assessment, and data are available which show that at present differences do exist among the results achieved by Black and Mexican-American students and majority students.

At this point, we have information on both the current results and the desired results. Now we have to develop some en-route objectives stated in measurable performance terms – outcomes to be attained along the way which lead to the results we ultimately want to achieve. Such objectives might include:

> Determine the reading skills and abilities required for successful performance as certified valid by the school psychologist on or before September 29.
>
> Determine the entry reading skills, knowledge, and attitudes of minority children on or before October 13 as certified valid and reliable by the school psychologist.
>
> Identify current reading skill practices and procedures, relating them to learning success and failure for both minority and majority students on or before October 22 as certified valid by the school psychologist.
>
> Identify possible behavior change techniques and procedures which have been found reliable and valid in changing the behavior of minority students – at least two alternative techniques matched to the student characteristics of each minority group. (For instance, reading behavior change methods and procedures should be selected from the alternatives identified and approved by at least 75 percent of the teachers involved. Each teacher should deliver a signed notice of acceptance to the principal on or before November 12.)

The en-route objectives outlined above show a possible sequence of steps that could lead to achieving the desired end results. Note that while these objectives specify the requirements for successful short-term performance, they do not indicate how the functions they require should be performed* – since this cannot be decided until you know exactly:

What results *are* being achieved.

What results are desired.

What en-route objectives must be met to achieve the desired results.

By taking this approach, we can avoid the premature selection of solutions which are inappropriate in terms of what we wish to accomplish. Rather, we can determine what is to be accomplished (outcomes) and then decide how best to do it.

COOPERATIVE PLANNING

Sometimes we resist involving other people in our planning efforts – often feeling that others are generally unqualified, troublesome, or both. Educators *can* improve the quality of their planning, however, by involving other members of the educational team – students, other educators, and members of the community – in their planning activities.

We should include others in our planning efforts because their involvement provides the following advantages for a pupil-centered approach:

Plans and goals develop broader support, which both increases the probability of cooperation and decreases the probability of interference in implementing successful educational change.

Discrepancies, omissions, and lapses are less likely when planning procedures are open and shared. The final plan thus developed is more likely to be complete and useful.

All members of the educational team understand who is doing what, where, when, and why. The roles, functions, and responsibilities of all participants are better defined, understood, and respected.

*More information on establishing objectives can be found in the *Handbook of Comprehensive Planning in Schools*, available from Educational Technology Publications, Inc., 140 Sylvan Avenue, Englewood Cliffs, New Jersey 07632.

Subsequent changes are easier to implement since everyone involved has a more complete understanding of planning procedures – it is not necessary to repeat all of the basic tasks each time changes are indicated.

Joint understanding, shared accountability, and a better chance for success can result from cooperative planning efforts. Such cooperation makes planning a public activity which is both healthy and useful.

MANAGEMENT PLANS

MISSION PROFILE

Earlier we discussed changing current results to desired results in terms of bridge-building – determining what has to be accomplished to achieve our goals. We indicated that en-route objectives link the two sets of results as shown below.

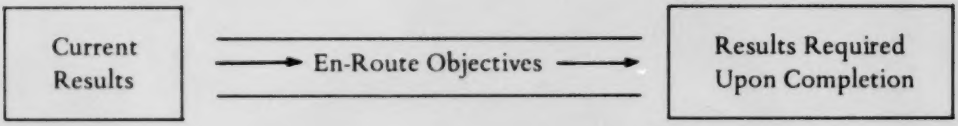


Figure 3.3 A Planning "Bridge"

Sometimes it is useful to illustrate planning activities graphically – with one or more flow charts (Kaufman, 1972). A management plan for achieving a given objective (see the objective on improving minority group reading skills presented earlier in this chapter) could be called a MISSION PROFILE – a set of objectives presented in a series of interconnected rectangles which show the independence and interdependence of each specific objective.

A mission profile for the hypothetical objective of improving minority reading skills might be prepared in the form of a flow chart such as that supplied in Figure 3.4.

This kind of flow chart is one of many ways in which a management plan can be illustrated. This chart can be identified with a set of processes referred to as a system approach. This approach was developed initially during the mid-1960's by Kaufman and Corrigan in connection with their work under Title III of the Elementary and Secondary Education Act (Operation PEP in California) and the Experienced

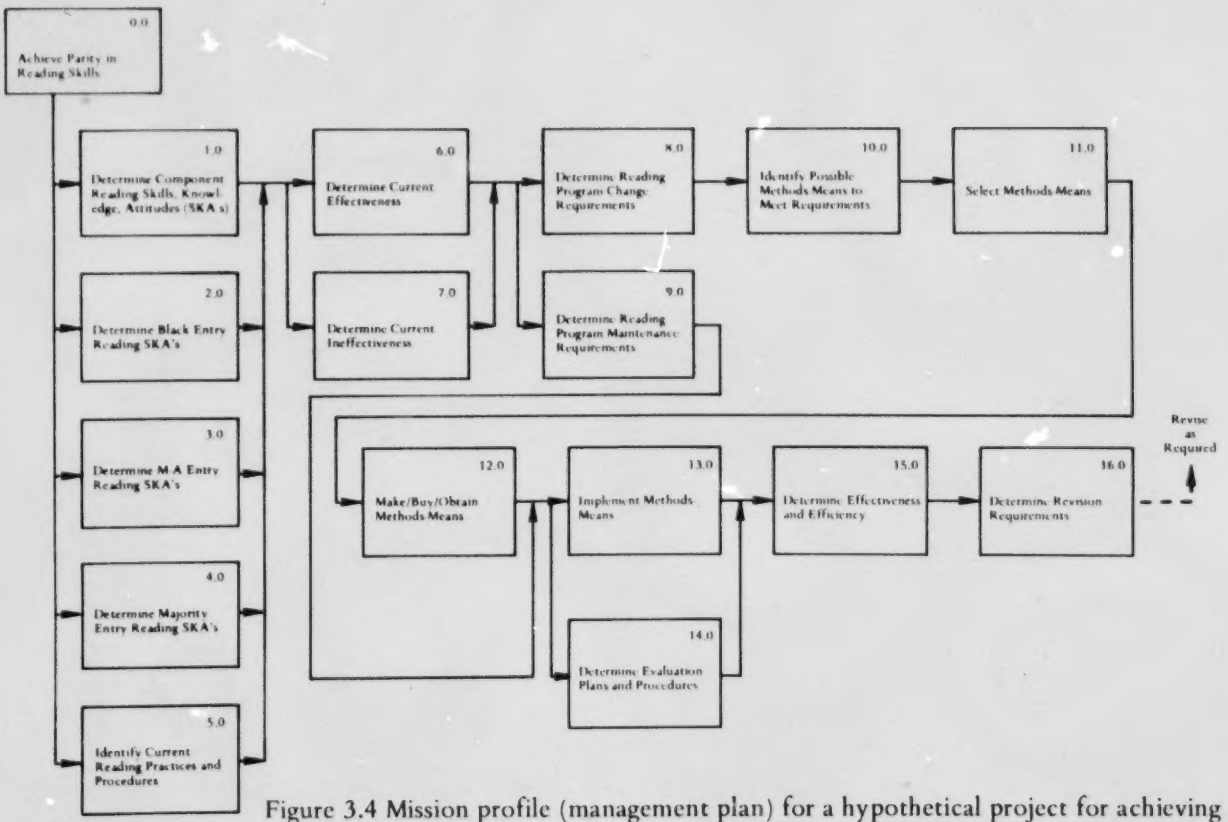


Figure 3.4 Mission profile (management plan) for a hypothetical project for achieving equivalence (parity of results) in minority (Black and Mexican-American) and majority skills, knowledge and attitudes (SKA's) in reading. The box numbered 0.0 is the overall "Mission Objective" or performance requirement. Independent functions are numbered in sequence with the flow indicated by arrows. The broken line indicates revision where required.

Teacher Fellowship Program at Chapman College. (Their later work is referenced in the Bibliography.) The flow chart details all of the functions involved together with the order in which they are to be performed. It shows how functions are related to other functions and how, together, they provide a way to change current results to desired results – by satisfactorily completing the performance requirements for each function identified in the mission profile.

READING THE MISSION PROFILE

Each function in the mission profile has a separate number to enable you to note both the order in which they are presented and the relationships among them. These numbers also provide index or locator numbers which can be used in referencing specific functions later in the project.

Each function follows the preceding one. For example, Function 10.0 (Identify Possible Methods-Means) is followed by Function 11.0 (Select Methods-Means); this consecutive relationship is called a *series function* because the numbers are consecutive and (more important) because the arrow connecting them indicates that they are on the same level.

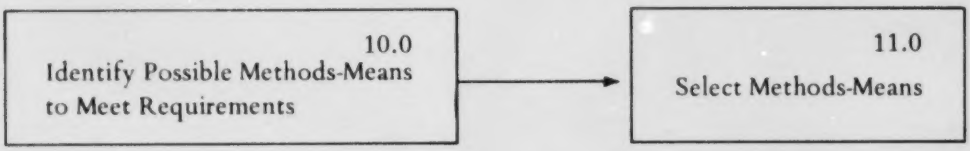


Figure 3.5 A Typical Series Function

Similarly, some functions have a parallel relationship – that is, they can be performed concurrently, while functions which are related consecutively cannot be performed out of order. Parallel functions are indicated by multiple arrows – as in the illustration in Figure 3.6 of parallel Functions 6.0 (Determine Current Effectiveness) and 7.0 (Determine Current Ineffectiveness). Parallel functions may be performed simultaneously or one at a time; *all* parallel functions must be completed, however, before the next function is performed. Typically, parallel functions are illustrated in a flow chart as a vertical series of boxes.

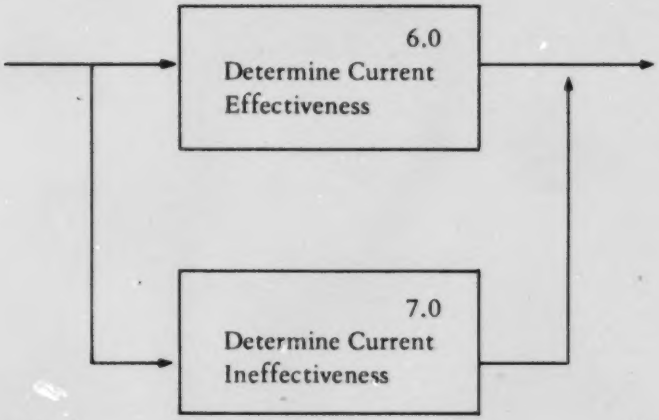


Figure 3.6 Typical Parallel Functions

By studying the mission profile illustrated in Figure 3.4, we can see that the first five functions (1.0 through 5.0) are parallel and that all five functions must be completed before the next two functions (6.0 and 7.0 which are themselves parallel at the next level) can be performed. By following the arrows we find: (1) a management plan which identifies the functions to be performed to achieve the mission objective; (2) the order in which those functions should be performed; and (3) how the functions involved are related to each other.

USING A MANAGEMENT PLAN

A management plan illustrated as a mission profile shows at a glance all of the functions required to achieve the objective specified, the order in which they should be performed, and the relationships among them. The mission profile also enables all of the members of the educational team who are involved in planning and implementing the plan to see exactly what is to be done and how all of the functions fit together to support the implementation of successful change.

The management plan also can be used by the change manager as a work schedule – to see what functions are to be performed, and when each function should be performed in terms of the other functions. He or she can begin to decide who should perform specific functions and how they should be accomplished. Most

important, by specifying in detail *WHAT* is to be done, the manager can begin to make effective decisions on *HOW* to achieve the mission objective.*

DETERMINING APPROXIMATE TIME SEQUENCES

It is useful to have a preliminary estimate of the time required to complete a given project. A Gantt Chart can be used to prepare time estimates. The functions to be performed can be listed on the chart (as specified in the mission profile) as well as the estimated period of time during which each function will be performed. A possible Gantt Chart for the hypothetical reading improvement project is presented below:

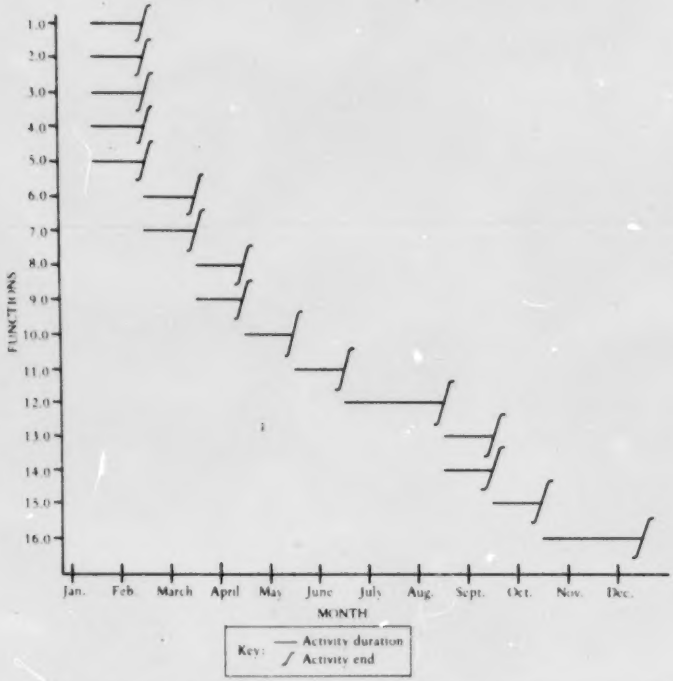


Figure 3.7 Hypothetical Gantt Chart indicating time estimates for each function involved in a change project. The function numbers listed on the vertical axis correspond to the numbers used in the mission profile for this project (see Figure 3.4).

*For more information on managing educational innovations, refer to the *Educational Project Management Instructional System (EPMIS) Module 2: Project Management Basic Principles*, developed by Research for Better Schools.

A SYSTEM APPROACH MODEL

The system approach to planning and achieving change (Kaufman, 1968, 1970, 1972; Corrigan, Corrigan, and Kaufman, 1967; Corrigan and Kaufman, 1966; and Kaufman and Corrigan, 1967) also provides a systematic procedure which can be used in identifying and solving problems. This approach is based upon the six-step process presented below in flow chart form:

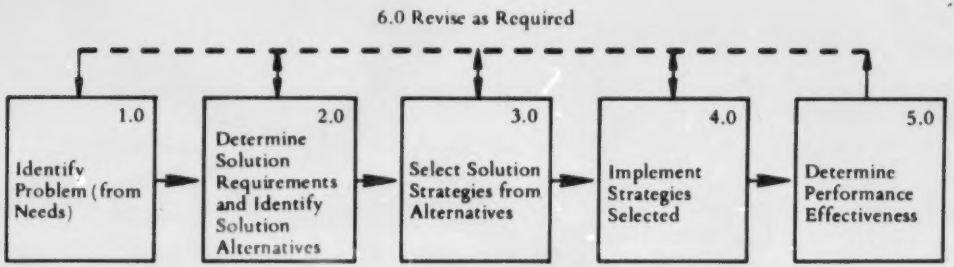


Figure 3.8 The System Approach Process*

The flow chart shows six steps to be performed in sequence. The first five steps involve systematic progress toward goals and objectives based upon a determination of current needs. The sixth step, which involves formative evaluation, is to be performed continuously so that constant evaluation and revision become both possible and probable.

This model has been used with success by a number of educational organizations and districts throughout this country. Of course, as with any tool, its usefulness depends both upon the validity of the data collected and on the rigor and objectivity of the educational planner and/or manager in charge of the project.

On the basis of preliminary estimates, more specific plans can be developed on what is to be done, how it is to be done, and when it is to be done. For example, you could estimate how long it will take to perform each function and how many people will be required to perform each function and then determine how many people and how much time will be required to complete the total project.

*Roger A. Kaufman, *Educational System Planning*, 1972, page 136. Reprinted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

OTHER TYPES OF PLANS

There are many other types of planning aids available, and as you become familiar with them you will note that most authors consider *their* method the only valid procedure. Although we, too, may be somewhat biased, we believe the method used should be appropriate for the situation – the situation should not be altered so that a particular method can be used.

Program Evaluation Review Technique (PERT) is a useful tool for determining what the relationships are between milestones (en-route objectives), when each function should be performed, and what the consequences will be if a given function is not performed on schedule. PERT is an important tool because of its emphasis on the fact that all the parts of a system (or all the functions of a project) are related and, therefore, have to be controlled. PERT is especially useful after you have decided what you are going to do and how you are going to do it. It differs from the system approach model previously discussed which is designed to enable the user to determine what has to be done so that rational decisions can be made on how best to achieve the desired results.

Management-by-Objectives (MBO) is another relatively new technique which educators have been giving increased attention. It is a simple concept and not too difficult to carry out. Basically (and perhaps we oversimplify), by following this procedure the users can: (1) identify and define objectives for specific operations; (2) achieve agreement on what is to be done, by whom, and when; and (3) carry out the functions necessary to achieve the objectives. Of course, the manager is responsible for making sure that there are: (a) sufficient agreement on the objectives (usually attained through group discussion), (b) acceptance of the assignment of objectives, and (c) acceptance of the schedule for reaching the objectives. Objectives used in MBO should be derived from and related to a formal needs assessment.

A variation of Management-by-Objectives is Management-by-Exception. In this approach, objectives are set and accepted but the manager only has to be concerned with those objectives which are *not* being achieved. This may be the most logical kind of management for a large organization. (To illustrate how this works, suppose that you are the superintendent in a large school district and are responsible for managing and following reports of student performance on all learning objectives in every school in the district! In a case like this, it might be useful to focus your efforts on reports of situations where the learning objectives are not being achieved.)

Management-by-Objectives is a useful, effective tool after your objectives have been specified and validated. One caution, however – the fact that objectives are developed by a group does not mean that they are appropriate or implementable.

Let us consider a hypothetical situation where a group of people from the Johnstown School District agreed upon a set of objectives which were inappropriate. Suppose that all of the teachers, administrators, and members of the community had agreed that their primary objective should be to have the best high school football team in the state during the coming year and that all school resources should be devoted to achieving this objective.

The people from Johnstown could make up PERT diagrams and/or follow the procedures for Management-by-Objectives; they might even achieve their objective of having the best high school football team in the state. Obviously, however, they could not simultaneously develop the skills, knowledge, and attitudes that students must have to survive and contribute in the real world after leaving Johnstown High School. AGREEMENT IS NOT VALIDITY! It is critically important for us to make sure that we are doing what we should be doing. The purpose of educational management is to ensure that we are undertaking appropriate activities. Those of us in educational management must spend whatever time and effort are required to determine exactly what needs exist before we can decide what solutions might be effective. The following factors should be considered:

1. All roles and functions we decide to perform, assign, or plan should be student-oriented rather than institutionally-oriented.
2. Change should be planned in terms of action – not reaction.
3. Although student needs provide the main focus of education, the needs of other members of the educational team should also be considered – taking care that such consideration does not prompt any action (or inaction) contrary to the interests of the students.
4. Social institutions tend to be relatively resistant to change. As educators, therefore, we should strive to be constantly alert to be sure that we really are trying to improve learning and student achievement and not just talking about student needs while trying to maintain the status quo.
5. Needs should be indicated in terms of identified gaps, rather than possible solutions. We should then determine which needs have the highest priority and base our objectives on those needs.
6. The values and valuing behavior of all members of the educational team must be considered since shared values make positive change possible.
7. We should state our objectives in measurable performance terms and provide some way of assessing performance in measurable terms so that we can determine whether the desired results have been achieved.
8. All members of the educational team should be involved in planning activities so that shared goals, shared objectives, and agreement on what is

to be done can be developed.

9. Management plans should be based upon a formal needs assessment and should indicate what functions have to be performed to achieve the mission objective. Different kinds of management plans and procedures can be used. Select the most appropriate one for your situation. We suggest a system approach whereby all of the functions required to achieve the desired results are detailed in a mission profile flow chart. Other management plans available include the Program Evaluation Review Technique (PERT) and Management-by-Objectives. These two tools are most useful when valid goals and objectives have been established and when you have determined exactly what functions are required to achieve those objectives (see Kaufman, 1972, pp. 130-137).

ORGANIZATIONAL SCHEMES FOR SUCCESS

When planning for successful change, it is important to consider how people can be organized in order to operate at maximum efficiency. Organizational charts represent an attempt to illustrate organization and utilization. As Bavelas and some other authors have shown, however, formal organization and informal organization are very different, and organizational charts seldom mirror reality. We need a scheme that really works – one which contributes to the achievement of the objectives established and to the satisfaction of all members of the educational team. Some alternative ways of organizing people in more humanistic and fruitful ways are described briefly in the following pages.

FUNCTIONAL ORGANIZATION

All organizations are designed to achieve specific objectives, with people and physical resources organized, orchestrated, and administered to attain those ends. Most organizations are structured unrealistically – by title rather than by function. In planning for successful change, you might find it useful to set up a functional organization – one in which each person is identified in terms of the outcomes or results for which he or she is responsible. The Assistant Superintendent for Instruction, for instance, might be considered responsible for student achievement. In this way, organization can be related to the products to be produced rather than to the procedures to be followed. The Assistant Superintendent for Business could take on a new role based upon his or her functional responsibilities and be made responsible for achieving maximum cost-effectiveness in school operations.

A functional organization is designed to shift attention from inappropriate procedures to activities (functions) which lead to the desired results. If you are thinking about new approaches to organization, try listing the functions or tasks that have to be successfully completed; then assign people to be responsible for those tasks. Each task should be expressed as a required outcome, not as a process.

LINEAR RESPONSIBILITY CHARTS

Traditional organizational charts, as we know them, tend to oversimplify the structure of an organization. The most frequent complaints about such charts are outlined below.

1. Traditional organizational charts only show organizational structure; they fail to provide any indication of the interpersonal relationships among the people involved during their day-to-day activities.
2. The lines which are used to indicate formal authority fail to show de facto authority relationships (actual and accepted authority).
3. The charts show how the organization is structured vertically, but do not show which people work together.
4. The charts must be supported by detailed descriptions and organizational manuals which delineate both authority relationships and work performance duties.
5. They provide an inadequate basis for organizational analysis.

We feel it would be useful to have an organizational charting technique that graphically portrays the interpersonal relationships between and among the members of an organization. Here, we would like to discuss briefly a technique which goes beyond the traditional convention of depicting only functional departments together with lines of formal authority and responsiblity. With this method, the coordinating and integrating relationships that serve to unify the various activities can be displayed. This technique is based upon our view of an organization as a composite of:

1. Human resources
2. Physical resources
3. Documented policies and procedures
4. Authority and responsibility relationships established between and among members of the organization

In a dynamic organization, an executive is continually confronted with the task of clarifying relationships – how both his subordinates and his supervisors relate to

each other and to him – and involved in redefining various positions and establishing new responsibility/authority relationships. As a result, it may be necessary for him to turn away from such conventional devices as traditional organizational charts and try to find new techniques designed to help him fulfill his responsibilities more effectively. One such technique is provided by the Linear Responsibility Chart (LRC). The LRC displays (in matrix form) basic information from conventional organizational charts and supporting manuals, i.e., administrative guides and policy manuals.

In structuring a Linear Responsibility Chart, the following three basic steps are involved:

1. List job titles across the top of the matrix.
2. List tasks and activities down the left side of the matrix, in groupings that facilitate analysis.
3. Define task-job responsibilities in terms of the key provided and indicate on the chart the extent of each person's responsibility for each task listed.

An illustration of an LRC chart is provided in Figure 3.9.

A Linear Responsibility Chart can be used to show: who participates in each task, the extent of each person's responsibility, the task-job relationships between the people involved, and the authority relationships established.

The primary advantages of an LRC chart are that:

1. It depicts the relationships among people.
2. It illustrates management as an integrated system rather than as a series of independent positions.
3. The user can see how his or her role – and the roles of the people with whom he or she must work – are related to various organizational tasks.

By reading across the *horizontal* lines (Figure 3.9), you can easily see that an LRC chart provides a complete picture of how various people are involved in the performance of each task listed. The chart shows, for example, that the Board of Education is responsible for establishing basic policies and that the superintendent, after being advised by his staff, recommends such policies to the Board of Education. The task of planning instructional programs is more complex. The Assistant Superintendent for Instruction is actually responsible for this task, but she must consult some members of her staff and the Assistant Superintendent in charge of business. She may also consult the Administrative Assistant, the Deputy Superintendent, and the consultants on her staff. The Superintendent advises on the program and provides information on the program to the members of the Board of Education who are responsible for approving it.

TASKS	BOARD OF EDUCATION	SUPERINTENDENT	BUSINESS SERVICES: ASST. SUPT. FOR BUSINESS	BUSINESS SERVICES: ADMINISTRATIVE ASSISTANT	BUSINESS SERVICES: DEPUTY SUPERINTENDENT	INSTRUCTIONAL SERVICES: ASST. SUPT. FOR INSTRUCTION	INSTRUCTIONAL SERVICES: CONSULTANTS	INSTRUCTIONAL SERVICES: COOR. INSTR. MATL. CENTER	INSTRUCTIONAL SERVICES: PROGRAM ADM. – SPECIAL EDUCATION		
ESTABLISH BASIC POLICY	1	4	3	3	3	3	3	3	3		
IMPLEMENT POLICY	6	1	3	3	3	3	6	5	5		
DEVELOP GOALS	2	1	5	3	3	5	3	3	3		
DEVELOP OBJECTIVES	2	1	5	3	3	5	3	3	3		
PLAN INSTRUCTIONAL PROGRAM	2	3	5	6	6	1	6	5	5		
PLAN BUDGET	2	4	1	3	5	5	6	6	6		
EVALUATE INSTRUCTIONAL PROGRAM	2	4	6	6	6	1	6	5	5		
DEVELOP COMMUNITY RELATIONS	2	1	3	3	3	3	3	3	3		
COORDINATE IN-SERVICE STAFF TRAINING	6	4	5	6	6	1	3	3	3		
RECRUIT PERSONNEL	2	4	1	6	6	1	6	6	6		
APPOINT PERSONNEL	2	4	1	6	6	1	6	6	6		
ASSIGN PERSONNEL	2	4	1	6	6	1	6	6	6		
EVALUATE PERSONNEL	2	4	1	6	6	1	6	6	6		
ESTABLISH COURSE OF STUDY K–8	2	4	6	6	6	1	3	3	3		

KEY:
1. Actual responsibility
2. Approves
3. Advises
4. Recommends
5. Must be consulted
6. May be consulted

Figure 3.9 A Linear Responsibility Chart

Studying the vertical columns in the chart, a user can easily and quickly summarize the basic responsibilities associated with each position. As you can see, the Assistant Superintendent for Instruction advises on establishing and implementing policy; she must be consulted when goals and objectives are being developed; she is responsible for planning and evaluating instructional programs; coordinating in-service staff training for teachers and administrators; the recruitment, appointment, assignment, and evaluation of personnel; and establishing a course of study, K-8.

Figure 3.10 differs from Figure 3.9 in that the starting point is different. Figure 3.10 shows the recruitment function and the responsibilities assigned to various staff members in relation to recruitment.

A Linear Responsibility Chart can be used to show the relationships among various staff members on specific tasks. The chart contains information on areas of responsibility as well as the relationships among various tasks. It can be used both as a planning tool to determine the most effective assignment of authority/responsibility and as a control technique to ensure that all tasks are carried out properly. Linear Responsibility Charts force staff members to think through both staff and task interrelationships which, in turn, gives them a better understanding of their own roles and responsibilities.

In selecting new charting techniques, you should determine whether a specific chart will be used to display information or for organizational analysis – since separate charts are needed for each of these purposes. Charts which are to be used primarily for informational purposes should be simple in format and include minimal detail; when charts are to be used for gathering, analyzing and correlating detailed information, however, conventional techniques will not suffice. Thus, two organizational charts will be needed in some organizations – one which shows the overall structure of the organization and one which shows the tasks involved in day-to-day organizational activities.

HYPOTHETICAL EXAMPLE

Suppose that you have been assigned responsibility for the reading project discussed earlier in this chapter. You first task would be to determine your current position in terms of results and what results are desired. Next, you should draw up a management plan covering the functions which have to be performed if you are to achieve your objective. (En-route objectives for achieving desired results are presented on page 23.) Other members of the educational team should be involved

RECRUITMENT OF INSTRUCTIONAL PERSONNEL	BOARD OF EDUCATION	SUPERINTENDENT	ADM. ASSISTANT	PERSONNEL SECRETARY	INSTRUCTIONAL SERVICES: ASST. SUPT. INSTRUCTION	INSTRUCTIONAL SERVICES: CONSULTANTS	INSTRUCTIONAL SERVICES: SECRETARY
DETERMINE VACANCY	2	1			4	3	
INFORM STAFF OF VACANCY		2			4		
DEVELOP BROCHURE		2			1	4	4
ESTABLISH RECRUITMENT TEAM		2			4	3	
INFORM ALL PERSONNEL SOURCES		2			1		4
RECEIVE APPLICATIONS		2			4		4
SCREEN APPLICATIONS		1			4	3	
INTERVIEW APPLICANTS		1			4	4	
RECOMMEND NEW STAFF	2	1			3	3	
APPOINT NEW STAFF	2	1			4	3	
ISSUE CONTRACT	2	1		4	3		
RECEIVE PERSONNEL DATA FOR FILE			3	4	2		
ASSIGN NEW STAFF	2	4			4		

KEY:
1. Recommends and/or reviews and counsels
2. Approves
3. Advises
4. Performs tasks

Figure 3.10 A Linear Responsibility Chart Showing Functional Authority Relationships

in a cooperative planning effort, which might include the preparation of a management plan similar to the one presented on page 26. Make sure that every member of the planning group understands and supports the management plan developed.

Plans are useful but they only provide an outline of functions to be performed in order to achieve the results desired; therefore, you will have to make a preliminary judgment on the feasibility of the plan, giving special attention to the amount of time required to achieve the desired results. You might prepare a Gantt Chart (like the one presented on page 29) covering the functions listed in your management plan. Next, you might decide what kind of an organizational scheme would be most effective. You could prepare a Linear Responsibility Chart based upon the functions included in the management plan and the positions of the participants in the activities planned. This kind of approach will increase the likelihood of your success in developing a reading improvement program which can provide opportunities for success to all students and enable them to develop the skills, knowledge, and attitudes necessary for their future success. A carefully developed management plan would help you to be sure that (1) you have a plan for successful change, (2) you can organize for change successfully, and (3) you have included the functions required to achieve the results desired.

A FEW KEY CONCEPTS
CHAPTER 3: PLANNING FOR CHANGE

Educational change can be approached by comparing current results with what you want to achieve in terms of results or outcomes. Such a comparison will enable you to determine what gaps exist.

Both current results and the results desired should be stated in measurable performance terms.

Ideally, objectives are stated in measurable performance terms; they include the following information:

1. Who will display the behavior or performance required.
2. What behavior or performance is required.
3. What criteria will be used to assess performance.
4. Under what conditions the required behavior will be displayed.

A detailed statement of a given objective which includes measurable criteria for success can be called a mission objective.

After determining where you are and what you want to achieve in terms of results, en-route objectives should be specified – these objectives are related to the functions which are to be performed to achieve the desired end results.

The objectives are all related to the question of *what* is to be done – *how* these objectives are to be accomplished is not considered at this point. A cooperative effort is suggested as you plan how you are going to achieve the results desired. Students, educators, and members of the community should be included in this planning effort.

A management plan can be used to present and organize the functions required to close any gaps identified. An overall management plan can be called a mission profile since it illustrates all of the functions involved in achieving the mission objective.

A mission profile may be prepared in the form of a flow chart which presents the functions involved as a series of rectangles connected by arrows. Such a flow chart shows how the various functions are related to each other.

Chapter 4

Defining and Measuring Success

EDUCATIONAL PRODUCTS AND PROCESSES

Although it seems a deceptively simple concept, almost everything can be classified as either a process or a product. Kaufman *(Educational System Planning,* Prentice-Hall, 1972) maintains that the ability to distinguish between process and product is critical to educational success; he defines product as the outcome or result to be achieved and process as the activities or solutions utilized to achieve that product. Some educational products are learning, student self-concept, and test results. Some of the processes of education are planning, managing, and evaluating. We should choose processes which will be effective in developing the products we want to achieve. This means that we should determine what we want to achieve (the product) before we decide how best to accomplish our goal (the process).

EDUCATIONAL PRODUCTS

Those of us in education frequently give a great deal of attention to process considerations while we tend to give less attention to the educational product. Although we are often uncomfortable with attempts to measure our productivity, successful change and management for change require us to know exactly what we are responsible for producing. For instance, if schools are expected to develop warm, responsive people we have to find a way to determine our success or failure in meeting that goal. If we don't know what we are trying to accomplish, how can we know whether or not we have succeeded? In order to manage change successfully, we have to define the results desired as well as the processes to be used so that we can provide the necessary goals, objectives, motivation, and leadership.

Unless we know what products we want to achieve, effective processes cannot be selected. Specifying the desired product gives direction and purpose to our efforts. We also have to know what our current products are before we can decide what products we want to achieve. Read the following list and try to identify the items listed as either product or process:

Salary schedule	Equal opportunity
Test score	Administration

Team teaching	Role structure
Differentiated staffing	Planning
Evaluation	Busing

In our terms, only the second item listed (test score) is a possible product – and we would hope that a valid instrument was used to assess the skills, behavior, or attitudes we are trying to achieve. Further, we hope that the product was determined by carrying out a formal assessment of educational needs.

Many excellent resources are available in the literature which can be used in developing product specifications. Mager, for instance, has told nearly a million readers how to develop measurable objectives (Mager, 1962).

In general, products (or outcomes) should be stated in terms of measurable performance and include the same kinds of information as objectives.

1. Who will display the behavior or outcome required.
2. What behavior or end product is required.
3. What criteria will be used to determine success or failure.
4. The conditions under which the required behavior will be displayed.

Optimal productivity will be obtained when the goals of the individuals involved and organizational goals are congruent. The closer these goals (this is related to the comparability of individual value patterns with organizational values), the greater both leadership effectiveness/efficiency and individual productivity will be. Productivity and product achievement both depend upon the efficient utilization of all resources – human and physical.

EDUCATIONAL PROCESSES

Process, in our defintion, refers to the methods and means utilized to achieve the product desired. As we have seen, processes include all of the factors involved in successful change, i.e., people, equipment, teaching methods, planning, and evaluation. Without process, the product cannot be achieved and it is the manager's responsibility to be sure that resources are used wisely and effectively in order to achieve the product desired as efficiently as possible. Effectiveness is determined by the extent to which established objectives have been achieved. Efficiency is determined by the expenditures required (time, money, personnel, and other resources) to achieve the desired products. We may achieve effectiveness without sufficient efficiency or efficiency without sufficient effectiveness. The challenge in successful management – often overlooked in education – is to achieve both effectiveness *and* efficiency.

Consider the following descriptions of school situations where efficiency has been achieved but effectiveness has not: suppose that students were taught to do addition but were unable to apply the skills they had mastered at the grocery store. Similarly, many people study a language for several years in school and pass all of their courses, but they are unable to use their language skills abroad. Such language programs may be efficient, but they are not very effective since the skills taught cannot be used in real life situations.

On the other hand, effectiveness with minimal efficiency is also possible. This situation could be illustrated by a reading class where, although mastery of 90 percent of the objectives by 90 percent of the students was obtained in three years, research showed that the same skills at the same mastery level could have been achieved in a year and a half with another program. A case like this was reported several years ago in connection with teaching the students in a course for electronic technicians to read resistor color codes with only one programmed frame. Many cases are not reported.

When we are selecting a process designed to develop specific products, we should consider both the efficiency and the effectiveness of the process or precious resources may be wasted.

ORGANIZATIONAL SUCCESS

Sometimes an organization is developed to enable people to respond to a set of new requirements. When this happens, we go through a process Kurt Lewin describes as unfreezing, moving, and refreezing. This means that we have to unfreeze our old behavior, move (change) our behavior, and refreeze our behavior in a different mold. It has been noted that during this process we must keep in mind the fact that everyone has anchoring points that provide security. To remove such anchoring points without providing new ones generates frustration and often results in reduced productivity. Thus, during the period when changes are being initiated, it may seem that prospects are very bleak. Unfortunately, this is a phase that both organizations and individuals have to try to understand and weather when changes are being made.

If we were to accept the first results achieved when an organizational change is taking place, we might decide to discontinue our efforts and try something else. We should keep in mind that what might at first seem to be failure might reflect only the pain associated with change. Consider the problems confronting a newly-appointed field hockey coach if the former coach used only high school seniors on the team in order to produce a winning team – with the result that all the younger team members were inexperienced. The new coach will have to develop all of the

remaining members of the team (since the seniors are gone) and may not win any games for quite a while; she is, however, developing a team in which the experience of the players will be developed over a longer period of time than one year so that over a span of years the team should become considerably stronger.

The development of a new organization might require both time and shaping, but it is important to remember that initial trauma should be expected when you are trying to achieve improved productivity. Be careful not to discard a potentially winning team and an effective plan too soon.

PRODUCTIVITY AND HUMANISM

The works of Argyris, McGregor, Maslow, and Herzberg, to name a few, all emphasize the fact that if change is to succeed the higher order "needs" of the people involved must be considered. Motivation strategies designed in terms of safety, security, and physiological "needs" will not encourage improved performance. To achieve improved productivity, the human "needs" associated with esteem and self-actualization must be considered.*

Those who claim that the emphasis on product is dehumanizing do not understand people. The success and the recognition that accompany a product orientation are important factors related to self-esteem; achievement, recognition, responsibility, and advancement are also the "motivators" that Herzberg describes. Accomplishment is important for human development, self-actualization, and productivity. Productivity and humanism, therfore, are closely related.

A FEW THOUGHTS ON EVALUATION

The idea of evaluating the success or failure of one of our efforts is not welcomed by many educators. This is unfortunate because evaluation is essential for educational success and self-renewal.

ADVANTAGES OF EVALUATION

Most people think of evaluation merely as providing opportunitites to punish failure. Most of us have witnessed poor and inappropriate evaluation; later, we might tend to generalize our experience and shy away from the idea of evaluation. Evaluation does not imply punishment; it provides decision-makers with information

*These concepts are discussed in greater detail in Chapters 5 and 7. It is suggested by one author here that "needs" as used by Maslow are not in actuality "needs" as used in Chapter 3; rather the "needs" to which Maslow refers are an admixture of demands, wants, desires, and wishes.

upon which they can base appropriate action. In an effective and efficient evaluation, the decision-maker uses this information in deciding whether to continue the activities involved or to revise (or discontinue) those activities that are not contributing to satisfactory outcomes.

Evaluation data must not be used to punish anyone but to revise the educational process in those areas where it is failing to meet the objectives established. It is as wasteful *not* to use the information gathered to identify necessary changes as it would be fruitless to use it as a basis for punishment. Evaluation provides us with the information and guidance required to correct and improve the educational process. If the evaluator and the people being evaluated understand how evaluation results are to be used, they should view evaluation as helpful rather than threatening.

TYPES OF EVALUATION

At least three kinds of evaluation are useful in managing educational change and renewal: formative evaluation, summative evaluation, and goal-free evaluation, to use Michael Scriven's labels.

Formative evaluation can be used to determine how well or how poorly we are doing *while* we are attempting to achieve our objectives. This type of evaluation (sometimes called process evaluation) provides useful information and direction as we go along so that we can revise our plans and procedures where it seems that such revisions will improve the probability that our ultimate objectives will be achieved.

Summative evaluation provides information on the final level of achievement of our goals and objectives. It is usually most useful when it is related to the needs which were identified and the goals and objectives which were based on those needs. Like needs assessment, summative evaluation provides an analysis based on gaps or discrepancies between the final results and the objectives established.

In Chapter 3, PLANNING FOR CHANGE (page 30), we mentioned Kaufman's six-step system approach model. Summative evaluation is quite similar to the step labeled Determine Performance Effectiveness (5.0), while formative evaluation is related to the step labeled Revise as Required (6.0) which continues throughout the entire process.

Goal-free evaluation is designed to identify outcomes which were unexpected and/or not made explicit in original planning activities. For instance, one outcome not originally expected in a school using individualized instruction might be that the teacher's role changed from lecturer to instructional guidance person. This, of

course, is another way of saying that the teacher's role performance reflected a more pupil-centered focus.

Such an unexpected outcome might not show up when usual measuring instruments and procedures are followed. Goal-free evaluation enables us to examine any educational situation for outcomes which were not planned and for which no instrumentation or procedures were initially devised. Unexpected results may be among the most important findings when innovative educational programs are being studied.

In summary, when used properly and judiciously, evaluation can provide the tools and information needed for successful change. The importance and usefulness of evaluation should be explained to everyone involved so that they understand that evaluation provides the information necessary for educational success and self-renewal.*

HYPOTHETICAL EXAMPLE

The personnel in a school district in the northeastern section of the country discovered that their students were having trouble with reading. They decided to use the Delta Reading Program with selected students in a language laboratory setting and submitted a proposal to the federal government requesting funds to cover the reading materials, the language lab, in-service training for teachers, and an evaluation designed to collect the teachers' views on the effectiveness of the new program.

The proposal was approved and the project was implemented with the funds provided; students were assigned to language labs, the Delta materials were used and, due to the in-service training, relatively few problems developed. In the evaluation interviews, it was reported that the program had been successful because the reading ability of the students had seemed to improve. The following fall, however, when the results of state-wide reading tests were published, there was no significant improvement in the reading scores of the students who had participated in the labs. As a result, school district personnel requested another federal grant so that they could install the Gamma Reading Program in a second attempt to help their students.

An Administrator's Handbook on Curriculum Evaluation (developed by Research for Better Schools, Inc.) will enable you to determine how evaluation can be used to improve your curriculum programs.

POSSIBLE ANALYSIS

While well-intentioned, these actions provide a good example of what can happen when attention is focused on means (processes) while ignoring or assuming the ends (products). The Delta Reading Program and the language laboratory approach were selected before a decision had been made as to what product was to be achieved. Just saying that improvements in reading were required was not enough, since what was to be read and how well were not specified. Detailed desired results should be prepared (in measurable performance terms) which can be used in identifying and selecting an alternative approach (process).

A FEW KEY CONCEPTS
CHAPTER 4: DEFINING AND MEASURING SUCCESS

Educators frequently confuse the concepts of product and process – usually emphasizing the process while tending to give less attention to the product.

Effective methods and processes can best be selected after determining what the educational product should be. It makes sense to determine what we want to achieve (the product) before deciding how best to accomplish our goal (the process).

Educational products are outcomes – usually changes in student skills, knowledge, and attitudes stated in measurable performance terms.

Educational processes are the activities required to achieve the desired educational products.

In order to manage change successfully, we have to define the results desired (the products) as well as the processes to be used so that we can provide the necessary goals, objectives, motivation, and leadership.

Productivity and humanism are closely related. An emphasis on product provides the people involved with opportunities for accomplishment which, in turn, are closely related to the "needs" of all individuals for success and the recognition that accompanies it.

Formative evaluation can be used to determine how well or how poorly we are doing *while* we are attempting to achieve our objectives.

Summative evaluation can be used to determine the extent to which our objectives or goals (products) have been achieved.

Goal-free evaluation can be used to examine unexpected outcomes for which no instrumentation or procedures were included in our evaluation design.

Section II

Chapter 5

Motivation and the Individual

INTRODUCTION

This chapter concerns how people are motivated, what is important to them, and what keeps them going. There is a great deal of research literature on these topics, and some of it deals with animals. One set of findings tends to indicate that rewards can be used to encourage a desired behavior pattern – if an animal is hungry enough, for instance, he will respond with behavior that has been rewarded by food in a similar situation. Such "operant conditioning" seems to work with both animals and people.

As educational managers, we can seldom make use of such basic drives as hunger to encourage specific behavior. In human enterprises more subtle considerations are involved, and we should familiarize ourselves with these aspects of motivation if we are to become more effective.

Basically, conceptual information is presented in this chapter. We will discuss some of the human aspects of motivation and consider some models and concepts developed by Maslow and others. Maslow's hierarchy of "needs" is an important conceptual model. We might question whether all of the elements he includes are, indeed, "needs" but the importance of his hierarchy is that it does present a model of wants and demands which can be useful, both in considering the change process and in understanding individual motivation and behavior.

MASLOW'S HIERARCHY

According to Maslow's theory, the behavior of an individual is largely determined by her or his strongest "felt need" at a given time. Maslow categorizes these "needs" in a five-level hierarchy. The five levels of "needs" described by Maslow are physiological, safety/security, belongingness (social), esteem/recognition, and self-actualization. These "needs" and, therefore, the motivational force exerted upon an individual to satisfy them, follow a pattern which runs from "needs" basic to human life through the "needs" associated with maximizing one's potential.

The first type of "need" in Maslow's hierarchy is classified as *physiological* and is related to basic "needs" for such things as food, shelter, and clothing. An individual is usually willing to expend a great deal of effort to satisfy these physiological "needs." After such basic "needs" have been attended to, the next level of "needs" on the hierarchy comes into play as "needs" which motivate the individual. The "needs" on the second level of the hierarchy involve the individual's *safety/security*, the "need" to be free from physical danger and avoid the deprivation of basic physiological "needs." An added dimension of safety/security "needs" is concened with the future "maintenance" and/or progress of the individual on the job and at home.

At the third level of the hierarchy, *belonging* or social "needs" become dominant after physiological and safety/security "needs" have been satisfied. Social "needs" involve the individual's relationships with others and membership in groups. Once an individual has become an accepted member of a group, his or her motivation changes to one in which *recognition* and *self-esteem* become dominant; with the satisfaction of these "needs" the individual experiences feelings of prestige, power, self-confidence, control, and importance.

Esteem/recognition "needs" involve a person's "need" for self-esteem as well as for recognition by others; the individual may use either constructive behavior or disruptive behavior to achieve recognition and increase self-esteem. Once these esteem/recognition "needs" have been satisfied, the motivation of the individual changes to focus on the "need" to maximize his or her potential – to become what he or she is capable of becoming or to achieve *self-actualization.*

Although the hierarchical relationship appears to lead directly from one level to another, it is important to note that variations can occur. One example of this might be found in a case where a higher level "need" supplants an unsatisfied lower level need. It also is important to note that the full gratification of one "need" is not necessarily required before a new "need" begins to motivate the individual. Greater degrees of satisfaction tend to be achieved in the areas of physiological and safety/security "needs," while partial satisfaction is more apparent at the other three levels (Hersey & Blanchard, 1972).

With regard to the underlying motives and incentives that motivate people to try to satisfy these "needs," several factors should be discussed in more detail. As Hersey and Blanchard note, money is frequently regarded as the essential means of satisfying basic physiological and safety "needs" and, to some extent, social "needs." As the individual becomes more concerned with esteem and/or self-actualization, this emphasis on money tends to diminish.

The desire or demand for security can also be overemphasized within an

organization. For instance, by attempting to alleviate individual stress through programs of fringe benefits (tenure; health, accident, life insurance; retirement plans; paid vacation; holidays; birthday celebrations), predictable, complying behavior may be encouraged. In this case, the desired objective (increased productivity) may not be attained since the emphasis on security "needs" may inhibit rather than encourage behavior associated with productivity. In addition, to a large extent the security-conscious individual tends to become non-competitive and may be regarded as non-threatening by others. It is important to note that while almost everyone is security-minded to some extent, the degree to which a given individual is security conscious will depend upon such factors as parental upbringing, past associations, and current circumstances.

Personal motivation, with respect to self-actualization, involves at least two dimensions – ability (competence) and achievement. Implicit in the former is success in controlling environmental factors. Individuals who consider themselves competent and are considered competent by others are characterized by their active attempts to cause things to happen. Individuals with a low perception of their own competency tend to avoid risks or challenges and to allow their environment to control them rather than attempt to change it. Competence seems to be cumulative, based upon the successes and failures an individual has experienced.

The second dimension of self-actualization – achievement – seems to vary in intensity from person to person. Achievement-oriented people tend to set moderately difficult personal goals which they perceive as potentially achievable. What might seem to be a risk to someone else is not viewed as a risk in terms of their perceived capability, because achievement-oriented people tend to consider their abilities and efforts sufficient for the task. While achievement-motivated individuals are problem/goal oriented, their effectiveness in leadership roles is a function of their own work together with that of their associates. A highly task-oriented individual tends to expect similar output from others; when this expectation is not fulfilled, frustration and diminished achievement of individual potential may result (Hersey & Blanchard, 1972).

According to Maslow, self-actualization involves assimilating one's work into oneself. That is, work/tasks become a personal commitment, and their fulfillment leads to individual satisfaction. This commitment is viewed as identification with an important task and dedication to its accomplishment. Thus, although self-actualizing behavior tends to be self-seeking and self-fulfilling, it simultaneously enables the individual to achieve selflessness.

When considering techniques to bring about change, Maslow's concept of self-actualizing behavior suggests a method that may be used in fostering individual

growth. This approach is based on the assumption that the individual is the fundamental unit within a social organization. With this perspective, the individual is considered capable of "creative, humanistic, life-affirming, and self-fulfilling" behavior or responses. The fostering of such behavior, however, will depend upon the removal of any obstacles which hamper achievement within the social organization. McGregor (1960) views organizations as often operating to keep individuals functioning at lower motivational levels, although people tend to have higher motivations which, if encouraged, would lead to both organizational and individual growth (Bennis, Benne, and Chin, 1969).

In the quest for self-actualization, individuals must discriminate between their relationship (and responsibility) to themselves and to others. Where others are concerned, he or she must treat them as fellow human beings with unique capacities and capabilities, goals, orientations, and motivations; for the individual, the process of self-actualization may be reinforced by the people to whom he or she relates. On the other hand, if the individual perceives others as mere objects, some form of psychological disengagement – alienation, depersonalization, and/or dehumanization – is likely to result. Depersonalization exerts a negative effect on self-actualizing behavior by leading the individual to "assume" the role behavior of other people. As a delimiting factor, dehumanization may result in "constraining" the role performance of others, attempts to manipulate others, and/or being indifferent to the consequences for others of one's own behavior (Winthrop, 1968).

Self-actualization provides a way to achieve individual goals. Groups provide an opportunity for an individual to become accepted and gain recognition. Having the opportunity to interact in a variety of group situations affords an individual one way to realize his or her potential more effectively. Two types of dynamics usually are involved in any group situation – those related to the individual as a person and those related to the individual's role in achieving group goals. In the first area, motivation for the individual in the group is associated with opportunities for approval, recognition, and appreciation. In the latter area, motivation for the individual in the group is associated with striving to achieve group goals – although those goals may not be entirely congruent with personal goals. In both areas, however, self-actualization in a group situation will depend upon the individual's capacity to relate to others without losing his or her sense of identity or individuality. On the one hand, all individuals (no matter how autonomous) constantly maintain relationships with others; on the other hand, all groups (no matter how consuming) are dependent on their individual members. As long as an individual enjoys the approval/esteem of other group members, that person will continue to grow. When perceived approval by others or self-esteem decreases,

productivity will decline (Bonner, 1959).

Many behavioral scientists contend that motivation is an intrinsic human characteristic. According to Pigors and Myers (1965), inner motivation can sometimes determine behavior more strongly than any external influence. When a "need" has been satisfied, at least to some extent, its power as a motivational force/determinant decreases. Whether or not consciousness of a given "need" decreases, however, is a function of the degree of satiation and the level of the "need" in Maslow's hierarchy. A "need" does not have to be completely satisfied to be replaced by a more pressing "felt need." Indeed, "needs" continuously "shift" in terms of their perceived priority.

Herzberg (1962) has discussed the differences between self-motivated and maintenance-oriented behavior. In the former type of behavior, the individual attempts to live up to personally established standards; in the latter, the person attempts to conform to the environment in a security-minded way. Herzberg provides additional insight into individual role performance by differentiating between "job context" and "job content." By stressing "job content" or task, the individual is better able to satisfy higher-level needs; this may result in increased productivity. Emphasizing "job context" may increase desirable fringe benefits, but it is not a direct route to self-actualization.

The role of an administrator within a social organization is both to recognize the existence of multiple human "needs" (wishes, wants, desires, requirements, demands) and to realize that they do not represent a threat to either the organization or the achievement of its objectives.

ROLES AND ROLE BEHAVIOR

For years sociologists have pointed out the fact that people play different roles in different situations. You, the reader, also play a wide variety of roles each day, i.e., parent, spouse, companion, advisor, school executive, worker, supervisor. Each of these roles calls for a different pattern of behavior. At the same time, other people have differing expectations related to how you should behave. Sometimes our various roles are incompatible and we become confused and frustrated. For instance, suppose that your supervisor expects you to play the role of passive follower while your subordinates expect you to be a dynamic leader who fights for their rights. Which role should you emphasize? If the demands of your roles conflict, disorientation may occur. Leon Festinger has referred to this disorientation as "cognitive dissonance."

TRANSACTIONAL ANALYSIS

In Eric Berne's *Games People Play* and *What Do You Say After You Say Hello?* as well as in Thomas A. Harris' *I'm OK-You're OK*, discussions are presented of three basic positions or "ego states" which people tend to assume: Parent, Adult, and Child.

1. Positions based upon parental figures are referred to colloquially as the Parent. In this state, the individual feels, thinks, acts, talks, and responds just as one of her parents did when she was a child. This is an active ego state which becomes dominant, for example, when the individual is raising her own children. Even when she is not actually exhibiting the overt behavior associated with this ego state, it influences her behavior as a "parental influence" which functions as a conscience.
2. The ego state in which the individual appraises his environment objectively, calculating its possibilities and probabilities on the basis of past experience, is referred to as the Adult. The Adult functions logically.
3. In addition to the two ego states described above, everyone possesses internally a little boy or little girl, who feels, thinks, acts, talks, and responds just the way he or she did as a child. This ego state is referred to as the Child. The Child is not regarded as "childish" or "immature" (which are parental assessments), but as childlike, i.e., like a child of a certain age. The important factor here is the age of the internal child, which usually lies somewhere between two and five years of age.*

We can learn a lot about ourselves and others when we attempt to analyze our relationships with other people to determine to what extent our characteristic behavior can be related to these three ego states which have been popularized as Parent, Adult, and Child (P-A-C).

To see how awareness of the three basic ego states can be usefully applied, assume that you have been given the responsibility of acting as project director for the implementation of an individualized instructional program in an elementary school. Your supervisor has described the project; from the description and previous experience, you know that in the view of your supervisor your role is to be that of a tough, authoritarian "parent" who will tell the other people involved "what is what." Assume further that you are willing to play this role. You can schedule a meeting with the people you will be supervising, the teachers and administrators

*Eric Berne, M.D., *What Do You Say After You Say Hello?* (New York: Bantam Books, 1973), pages 11-12.

working on the project, and in the meeting play the parent role. If other members of the group are willing to respond as children, the meeting will probably be successful; it they are not willing to play that role, you can expect to have some problems.

Our behavior is based upon our past experience, in terms of the way we have played our various roles and the rewards or results achieved in response to our performances. If we have been successful as "Mr. Nice Guy," we will tend to continue in that role. If our behavior has been that of a petulant, whining child, we will continue that behavior as long as we are rewarded or receive a "payoff" for that behavior. In our actions and reactions to the people with whom we work, we may play different roles at different times -- depending upon our previous behavior, the rewards or payoffs we have received for that behavior, and what rewards we EXPECT to receive for continuing that behavior.

In a very succinct article (*American Journal of Psychotherapy*, Vol. XII, No. 4, October 1958), Berne discusses the "games" that people indulge in during their interactions with others. While it is usually desirable to operate on an adult level in a school situation, our behavior frequently is that of our Parent or Child. In interacting with others, it is sometimes useful to consider the individual motivational aspects of the "games" that we are playing and which others might be playing with us . . . these are not "fun" games, but ways in which we and others have chosen to interact and set up a type of life script which each game supports. By realizing that improved rewards may result from different behaviors, we sometimes can improve our interactions with others by emphasizing our Adult (adult behavior) in our actions and reactions.

Berne offers a simple diagrammatic way to analyze the interactions in which we take part. Suppose that an Adult-Adult transaction has occurred between you (acting as the project director) and a member of the project staff. For instance, you might say: "I will have to have a list of the objectives for your part of this project in two days so that we can order materials for the project." The staff member answers, "All right, I will try, but I am not sure how long it will take the teachers to develop the objectives. Let me look into the situation and try to get the list to you on time." A diagram of this Adult-Adult transaction, based upon Berne's concept of Transactional Analysis, is presented on the following page.

Now, suppose that you initiated the transaction just described in the same way but received the following response: "That's a good idea, but you haven't told me how to work with the teachers to develop the objectives. Until I know what you want me to do, I can't give you a list of objectives." To this, you might reply: "I told you three weeks ago to develop the objectives and they still aren't done. I don't know what to do with you. You have two days to develop the objectives and give

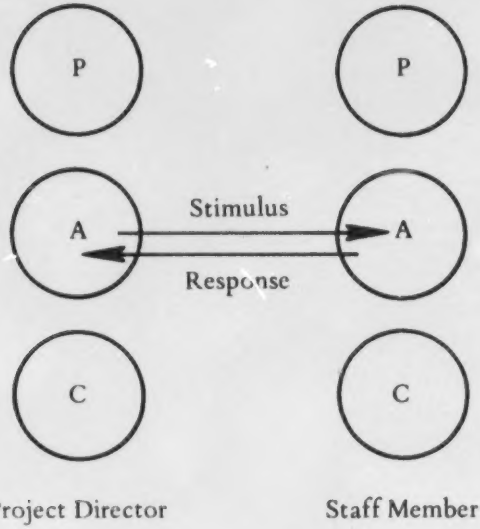


Figure 5.1 Diagram of an Adult-Adult Transaction

me the list." Rather than an Adult-to-Adult transaction, the changed response led to an Adult-Child-Parent transaction. The request was made as one adult to another, but instead of reacting as an adult, the other person responded with a child's reaction, where helplessness and dependence are expressed in an effort to manipulate the other person (you) into taking a different position or modifying your request. (Berne might consider this an example of what he calls the "yes, but . . . " game.) By switching to the Child, this staff member brought out the Parent in you, stimulating you to play the role of a stern parent trying to get a child under control. A diagram of this transaction is presented on the following page.

When you are in a supervisory position, you might find yourself playing various roles in your interactions with the people you are supervising and receiving reactions which, at first, might seem puzzling. It might be helpful for you to analyze these interactions in terms of the Transactional Analysis concept, trying to develop ways to communicate as an adult with your peers and with those you are supervising. If Adult-Adult transactions do not result, consider ways to improve the transactions in which you take part by shifting the transaction mode.

One possible approach to learning to shift transactions is to review Greenwald's Direct Decision Therapy model. The Greenwald model emphasizes the relationship

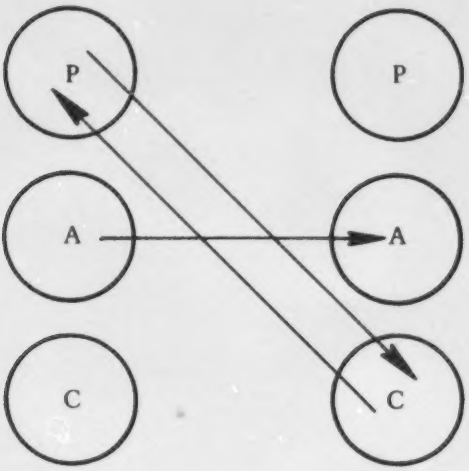


Figure 5.2 Diagram of an Adult-Child-Parent Transaction

between decisions and their associated payoffs for behavior. (Many synonyms can be substituted for "payoffs," of course, on the basis of personal preference, i.e., rewards, reinforcers, enhancers, etc.) If you are trying to communicate at the adult level and are receiving child responses, the other person is probably receiving some payoff for acting as a child. You might try to discover what "payoff" the other person is seeking and use that knowledge to try to change the situation. You should also try to be candid and honest with yourself about your own behavior – to make sure that you are acting at the adult level.

Thus, we act in ways which we expect to produce predictable results. If I, for instance, have been rewarded for adult behavior, I will tend to continue playing an adult role in most situations. If you communicate with me at the parent level and perceiving this I respond as a child, we are engaged in a mutual game whereby we meet each other's expectations. To change our expectations and the related behaviors, the rewards – or payoffs – must be changed.

PAYOFFS IN WORK SITUATIONS – EXPECTATIONS AND REWARDS

Hersey and Blanchard *(Management of Organizational Behavior: Utilizing Human Resources,* 2nd edition, Prentice-Hall, 1972) report a study concerned with

"what workers want from their jobs." Information was collected from workers (in industry) as well as information from the workers' supervisiors on their perceptions of what the workers wanted from their jobs. As indicated in the chart presenting these findings, great differences were found to exist between what the workers actually wanted and what their supervisors thought they wanted.

FACTORS OF IMPORTANCE	WORKERS' RATINGS	SUPERVISORS' RATINGS
Good working conditions	9	4
Feeling "in" on things	2	10
Tactful disciplining	10	7
Full appreciation for work done	1	8
Management loyalty to workers	8	6
Good wages	5	1
Promotion and growth with company	7	3
Sympathetic understanding of personal problems	3	9
Job security	4	2
Interesting work	6	5

It is obvious in this instance that what these workers actually wanted and considered important bore little resemblance to what their supervisors thought they wanted. The most surprising difference shown by the chart is that the workers ranked money fifth in importance while their supervisors thought it was the most important factor to the workers. (To be fair, it should be noted that originally unions, too, tended to be mostly concerned with environmental factors.)

What could these findings mean to you as a new program supervisior or change agent? First, you might examine the differences between your expectations and those of your staff. You may think that they consider security most important, while recognition may actually be more important to them. It could be worthwhile to initiate a dialogue to ask them what they want directly. Find out what "payoffs" they expect; don't guess about their expectations. Examine their reactions to you to make sure that they aren't playing the roles they think you want them to play instead of being open, honest, and congruent. In doing this, try to establish and operate on an "Adult-Adult" basis with members of your staff.

In terms of Maslow's hierarchy of "needs," most people's lower order "needs" are being met satisfactorily. This is particularly true in the case of school personnel.

If, therefore, we assume in managing school personnel that their expectations and basic motivations are primarily related to meeting physiological and safety "needs," we are going to be unsuccessful. In an educational setting, where we are interacting with better educated, privileged members of our society, motivation must be directly related to the "needs" for esteem and self-actualization.

It is worthwhile to examine the rewards we have to offer and our interactions with our peers and staff workers to determine the extent to which we are rewarding lower level "needs" – safety and security – instead of expectations based on higher level "needs." A checklist similar to the one shown in Figure 5.3 (see page 62) might be useful to you in determining how effective various types of interactions might be in motivating behaviors which result in the rewards desired.

To review briefly, we have noted how the concept of Transactional Analysis can be used to describe stereotyped behaviors characterized as "parent," "adult," and "child." These are positions or ego states that everyone (according to Berne) assumes at one time or another. In transactions in a school setting, specific ego states tend to be emphasized in our transactions with subordinates although we use all of these states at different times.

Now, refer to the checklist on page 62 to see how it can be used in analyzing your interactions. Column one can be used to indicate the person with whom you are interacting; in column two you can note which of the three ego states you are using in a given transaction. Since you are interacting with another person, indicate the ego state reflected in his or her response in the third column. (If the other person initiated the interaction, that fact should be noted so that you can analyze your reaction.)

As you can see, the first three columns on the chart can be used to analyze behavior in terms of the three basic ego states. In the final column, information can be supplied which will provide further assistance in your analysis of interpersonal behavior and organizational effectiveness – information on the implied or stated rewards available. You will recall that Maslow's hierarchy was based on five levels of "needs," ranging from physiological "needs" to those associated with self-actualization. Using this hierarchy, we can determine what level of "need" the reward we can offer would meet and determine if the reward is at a level which is important to the other person. If the reward available meets an appropriate "need" level, we should be able to successfully motivate the other person involved in a specific interaction.

Herzberg discusses rewards in his book, *Work and the Nature of Man*, distinguishing between "hygiene factors" and "motivators." He considers money, status, security, interpersonal relations, working conditions, supervision, policies and

Figure 5.3 Suggested Analysis Form for Determining Appropriateness of Interactions and Rewards for Successfully Motivating School Personnel

Interaction With:	Communicator's Level			Respondent's Response Level			Implied or Stated Reward Available				
	Parent	Adult	Child	Parent	Adult	Child	Physiological	Safety	Social	Esteem	Self-Actualization

procedures to be "hygiene factors" which are necessary if individual job performance is to reach a satisfactory level. (The term "hygiene" is borrowed from the public health field, where certain hygiene measures such as vaccination, water purification, and garbage removal are required to provide an acceptable environment. If these measures are neglected or a breakdown occurs, the environment deteriorates and people suffer.) Note that these "hygiene factors" themselves do not make people happy – they can only provide an environment where satisfaction is possible. In the long run, increased attention to "hygiene factors" is *not* directly related to increased productivity. You will note that this contradicts the conventional idea that higher monetary rewards motivate people to work harder. On the other hand, if the quality and number of "hygiene factors" are reduced, performance levels may indeed decline.

Herzberg identifies "motivators" as growth producers. "Motivators" include recognition for accomplishment, challenging tasks, opportunities for growth and development, and similar rewards. While "hygiene factors" keep a person working without increasing productivity, "motivators" do improve performance when they are enhanced.

On the basis of Herzberg's analysis, our checklist for analyzing effective interactions and rewards might have had the following heading on the last column:

Implied or Stated Reward Available	
"Hygiene Factor"	"Motivator"

You might want to consider using this kind of checklist in order to get a better understanding of your own behavior, the behavior of the teachers and educators you are supervising, and the most effective ways you and your organization can reward the kind of behavior you want to encourage. Copies of such a checklist could be distributed, explained, and filled out by you and your co-workers as an exercise during a staff meeting. Or, you might want to collect the checklists completed in a group setting, develop a baseline measure, review the extent to which your behavior and the behavior of your subordinates are effective, decide upon desirable changes, and implement those changes; the checklist can then be used again in a similar group setting to identify changed patterns of behavior.

The checklist should be used as a rough guide in analyzing behavior and improving motivation – it provides an instrument you can use to analyze your interactions with other people and identify rewards which will be effective.

How well or how poorly we get along with members of our staff and how willing they are to cooperate in pursuing project goals will depend to a great extent upon the perceived "payoffs." If we treat them as children (by acting as parents), they will not work at their optimal level of productivity. Attempts to motivate subordinates by satisfying lower level "needs" or enhancing "hygiene factors" will not achieve the necessary cooperation and results. If we treat them as adults and provide rewards that they consider important, the chances are better that our goals will be achieved.

EXPECTATIONS AND PERSONALITY

Different people see the world in different ways; they have different personalities, different perspectives, and different expectations about other people and about the world. The differences between ourselves and our fellow workers should be taken into consideration when we interact with them. Cold, hard, systematic logic is not the most effective approach if we are working with people who are primarily intuitive; we should communicate with them in a different way, perhaps placing more emphasis on possible desirable results. Statistical signs and symbols will mean different things to them than they do to us. Conversely, intuitive appeals and arguments will be less than successful in motivating logical, structured people. People *are* different, thankfully, and as we work with them we should keep this in mind.

HYPOTHETICAL EXAMPLE

Machiam School District is located on the outskirts of a large metropolitan area. District personnel wanted to introduce changes designed to improve the self-concepts of the students, 61 percent of whom reported that they were not satisfied with themselves. In examining the literature on improving self-concept, a group of teachers, administrators and members of the community concluded that a good self-concept makes an important contribution to improving both school performance and ultimate social adjustment. School personnel examined a number of plans, including magic circles, using candy to reinforce desired behavior, programmed instruction and many other programs. A special committee which included teachers, members of the community, and student representatives selected two approaches: operant conditioning for the younger students and programmed

instruction for the older ones. On the basis of a study of alternative costs and benefits, the committee members thought that these programs represented the best possibilities although they were not sure. They felt that once the programs were in use they could better assess their usefulness through evaluation.

The members of the committee knew that they might experience some problems when these programs were introduced to others, since the new programs involved changes in both practices and procedures. They realized that such motivational tools as bonus increments for participation or direct orders might not be effective, since they were either related to the lower level "needs" on Maslow's hierarchy or were identified in Herzberg's terms as "hygiene factors."

In an attempt to minimize the problem of resistance to a new project, the members of the committee met with a representative group of teachers. They explained the problem and asked the teachers to help them analyze the kinds of interactions that might take place when the two new programs were introduced to the entire teaching staff. The people involved in this meeting decided that the problem most likely to arise would occur if committee members behaved as "parents" which would probably elicit "child" behavior by most of the teachers. It was agreed that adult behavior would be necessary and that effective "motivators" should be identified.

Accordingly, committee members advised the principal (who was responsible for implementing this educational change program) to try to identify rewards related to esteem. The principal, in turn, decided to establish a "Recognition Committee" that included several key teachers. The committee's weekly purpose would be to recognize the teacher who was most effectively achieving the objectives of the program to improve student self-esteem. A special plaque was ordered to be hung on the door of the "Teacher of the Week." In addition, plans were made to have each teacher who was designated teacher of the week commended by the school board and to have information on the weekly winners supplied to the local newspaper.

A FEW KEY CONCEPTS
CHAPTER 5: MOTIVATION AND THE INDIVIDUAL

Maslow's hierarchy is based upon five levels of human "needs": Physiological, Safety/Security, Social (Belonging, Love), Esteem/Recognition, and Self-Actualization.

Usually, but not always, lower level "needs" must be satisfied before higher order "needs" supplant them.

Change managers should recognize the existence of multiple human "needs" and recognize that they represent no threat to either the organization or to the achievement of organizational objectives.

Useful discussions of interpersonal behavior are provided in Berne's concept of Transactional Analysis. He examines behavior in terms of three basic ego states: Parent, Adult, and Child.

Berne refers to the interactions (or social exchanges) between people as transactions.

By examining our own interpersonal behavior, we can develop a better understanding of ourselves, other people, and the effectiveness of our transactions.

We can learn to shift our transaction patterns and improve the effectiveness of those transactions.

Workers and supervisors express little agreement on what workers consider important. Most supervisors believe that workers feel that money is the most important consideration while workers actually rank appreciation for their work as most important to them.

Increased productivity and change can be achieved by providing rewards related to the "needs" at the higher levels of Maslow's hierarchy.

Herzberg seems to support this analysis, identifying factors external to the job (e.g., money) as "hygiene factors" which provide an environment where satisfaction is possible but will not increase productivity if expanded. If "hygiene factors" are decreased, however, performance will deteriorate. Only rewards intrinsic to the job ("motivators") will increase performance beyond the level that can be achieved with "hygiene factors."

In education, too much emphasis is placed upon "hygiene factors" which probably will not result in improved performance. We have to use "motivators" if we want performance to improve.

Chapter 6

Applying Transactional Analysis

INTRODUCTION

In Chapter 5, we noted that Eric Berne's concept of Transactional Analysis (TA) is based upon three major ego states: Parent, Adult, and Child. These ideas have been extended by Thomas A. Harris in his bestselling book, *I'm OK – You're OK*, which contains some guidelines that can be followed in analyzing the transactions or interactions between people.

To help you practice the skills of Transactional Analysis, this chapter contains some hypothetical transactions that might take place in an educational setting. After analyzing these transactions, you may wish to compare your analysis with ours. We do not intend or attempt to make you a competent therapist or to encourage you to use TA therapeutically. Rather than the therapeutic aspects of TA, our interest is in social exchanges. We want you to be able to identify the kinds of transactions in which you and your subordinates may be involved as you organize to initiate change. We feel that Transactional Analysis is a potentially powerful conceptual tool to have at your command. This concept has been usefully applied in the fields of psychotherapy and counseling as well as in training programs, and we believe it can also be useful in education. If you want to know more, a number of books and training programs on TA are available.

EXERCISE IN APPLYING TRANSACTIONAL ANALYSIS

The following presentations cover a few of the kinds of transactions which might occur in an educational setting. These transactions take place within a group of people which includes a school board chairperson (BC), a superintendent (S), and a principal (P). Later, you will be asked to analyze some of these transactions and compare your analysis with ours.

Members of the County Board of Education recently learned of differentiated staffing as a method for improving education. After attending a workshop on this approach, board members decided to implement a program of differentiated staffing in the county schools. The superintendent was invited to attend an executive session and was instructed to make sure this topic was on the agenda for the next board meeting when a vote would be taken. The conversation went like this:

Transaction Number One

Board Chairperson (BC): "As you know, we have been studying differentiated staffing. We like the idea and feel it would help us solve some of our problems. We have decided to ask for a vote on this at our board meeting next Thursday night. We thought that you should know about our decision."

Superintendent (S): "Not again! You don't seem to understand that I am the educational administrator here, and that it is up to me to make recommendations like this. I think this move is shocking and ridiculous."

Transaction Number Two

BC: "Don't talk like that. We would be better off if you would grow up. Just stop that kind of talk and accept our decision."

S: "I wish you had talked to me first, that's all. There are better ways to handle questions like this, and my views might be useful. I'm sorry."

Transaction Number Three

BC: "All right, then, but let's not have any more of this nonsense. We are in charge here, and what we say goes."

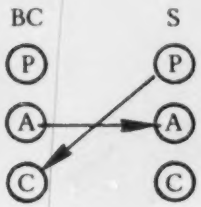
S: "Let's mark the agenda for a vote on the program; then we can discuss how we can implement it."

The three transactions presented here occurred between the board chairperson (BC) and the superintendent (S).* In the diagram on page 69, we have drawn in the lines which illustrate our analysis of the first transaction. The BC initiated the conversation with several Adult-Adult remarks and the S reacted with a Parent-Child

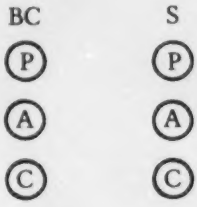
*The authors wish to express their thanks to Frank Schmidt, Professor of Psychology, United States International University, for his suggestions on the transactions presented here.

response. *Draw in lines to illustrate your analysis of the second and third transactions. In each case, use one line to illustrate the BC's comments and another line to illustrate the S's response.*

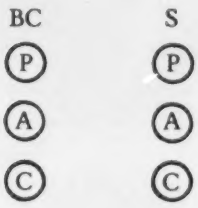
Transaction Number One



Transaction Number Two



Transaction Number Three

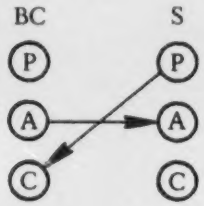


POSSIBLE ANALYSIS

We have analyzed and illustrated these three transactions on the following page. You may want to compare your analysis and diagrams with ours.

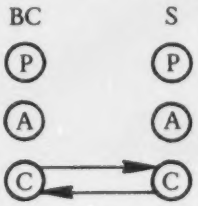
Look at Transaction Number One on page 68. This transaction was initiated on an Adult-Adult basis – the board chairperson made several straightforward statements, attempting to communicate with the superintendent in an adult fashion. The superintendent's response, however, was Parent-Child, using the kinds of absolute words and phrases that Thomas Harris views as typical of "Parent responses." In this list Harris includes: "Stupid, haughty, ridiculous, disgusting, shocking, asinine, lazy, nonsense, absurd, poor thing, poor dear. . . ." Harris notes that these "archaic" and automatic responses are learned from the "Parent" model during the first five years of life. These responses are different from Adult responses which are based upon the logical assessment of a given situation.

Transaction Number One



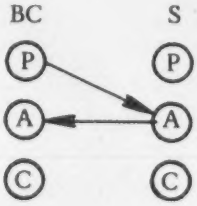
Transaction Number Two illustrates a Child-Child interaction. According to Harris, Child behavior is also learned during the first five years of life. This is predominantly a pre-verbal period during which the child may experience feelings of helplessness, inferiority or, in Harris' terms, of being "NOT OK" and seeking parental approval. Child behavior is characterized by the expression of feelings and emotions rather than the fixed admonitions of the Parent or the logical considerations of the Adult. In this transaction the BC emotionally tells the S to "grow up." The S responds helplessly, seeking approval with an apology.

Transaction Number Two



In Transaction Number Three the board chairperson exhibits Parent behavior, giving stern orders, and the superintendent responds as an Adult, with a statement about discussing the program further.

Transaction Number Three



The successful analysis of transactions requires practice and experience. In your efforts to develop the skills required to analyze transactions, you might find Harris' book *I'm OK – You're OK* quite helpful, especially Chapter 5.

EXERCISE IN APPLYING TRANSACTIONAL ANALYSIS

Now, let's try to analyze another hypothetical dialogue.

Last year the state legislature passed a law requiring that teachers, principals, and administrators be evaluated on the basis of the performance of their students. The law requires that measurable behavioral objectives be developed and sent to the principal of each school for approval. Student performance or achievement of the objectives will be used as the basis for annual teacher evaluations and decisions on tenure.

The superintendent of the Hopewell Valley School District scheduled a meeting to enable all of the district administrators to discuss the implications of the new law and decide how its requirements could best be implemented.

Transaction Number Four

Superintendent (S): "I read the new law and picked up some information on its legal implications from the regional superintendents' meeting. After weighing all of the factors, I think that we have to be responsive and prepare something in writing for the State Department of Education within the next six months."

Principal (P): "I wish those guys would let us alone. We try to do the right thing, and all they do is pass stupid laws; then they walk off and leave us holding the bag. It makes me mad."

Transaction Number Five

S: "I tend to agree with you, but whether we want to do it or not, we have been charged with this responsibility and we have to comply. Our job is to determine exactly what we have to do and decide what the best way to do it would be."

P: "This is stupid, really stupid. They always do this to us, and I don't think we should take it lying down. We should organize the state administrators' association to fight this right down the line. And everybody in this room should help or they'll just ruin our schools. They don't know anything about education, but they have the nerve to tell us how to run our schools."

Transaction Number Six

S: "Now stop running off at the mouth. We have to do this job! We are going to do it, no matter what you think. And I'm going to see to it that you cooperate. I'm trying to do the right thing on this darned law, and I'm not going to take any more flack. We'll do it. Now, what's the best way to do the job?"

P: "Look here, you can't run roughshod over us. I'm a professional. Nobody is going to order me around."

Transaction Number Seven

S: "Don't talk to me about professionalism. My doctorate makes me a professional, too. You'll do what I say or else."

P: "Or else what?"

Transaction Number Eight

S: "I'll bring you up before the school board for insubordination and you'll never get another job in this state as long as I'm here."

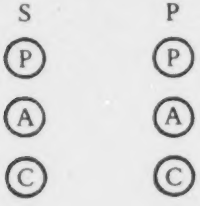
P: "If you try that I'll sue you and the district for every cent you have!"

Now fill in the diagrams below to illustrate your analysis of the five transactions just presented (Transaction Numbers 4, 5, 6, 7, and 8). Then read our analysis of these transactions and compare your diagrams with ours.

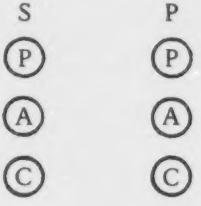
Transaction Number Four

Transaction Number Five

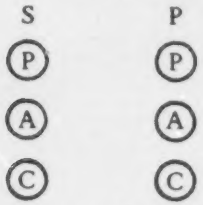
Transaction Number Six



Transaction Number Seven



Transaction Number Eight

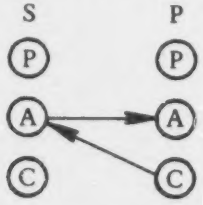


POSSIBLE ANALYSIS

We hope that such a dialogue could not occur in any school district, especially in a district where school personnel are trying to initiate planned, productive changes. Our analyses and illustrations of these transactions follow.

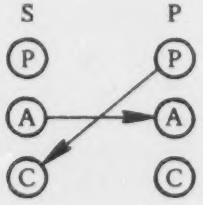
The superintendent initiated Transaction Number Four as an Adult, outlining a real problem on which some thinking and research had been done and attempting to elicit the help and cooperation of other administrators. Child-like responses were given by the principal who became involved in unhelpful attempts to focus blame on the legislature rather than to accept any responsibility for the project under discussion.

Transaction Number Four



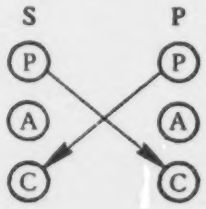
In Transaction Number Five, as the superintendent tried to keep the discussion on an Adult level, the principal shifted to a Parent approach, using words like "stupid" and "nerve" in an effort to arouse the superintendent's Child.

Transaction Number Five

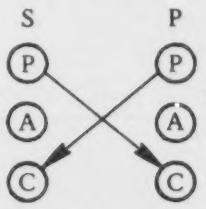


In Transaction Number Six, each of these people shifted to the Parent position, trying to bring out the other's Child. As Harris points out, this type of crossed transaction usually causes problems and if such transactions are continued, communication ceases. The Parent-Child dialogue continued in Transaction Number Seven with the superintendent giving orders which the principal refused to accept.

Transaction Number Six

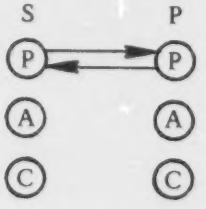


Transaction Number Seven



Transaction Number Eight ended the dialogue on a Parent-Parent basis, with both administrators making threatening statements. It may be impossible to resolve this conflict until the people involved can establish an Adult-Adult basis for their transactions.

Transaction Number Eight



For school transactions to be successful, the people involved must try to remain in the Adult position. It requires both patience and thought to maintain a logical and unemotional position in all transactions. If you become angry, try to calm down before continuing the transaction. Also, you should practice considering each transaction from the other person's perspective and try to get the other person to take the same approach. Try to eliminate the Child and the Parent from your transactions to encourage the Adult in the other person involved.

Analyze the following transaction for further practice. Suppose that Transactions Four to Eight between the superintendent and the principal were followed by the following exchange:

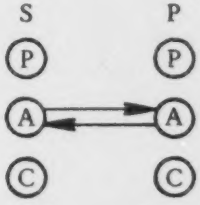
Transaction Number Nine

S: "Sure. We both would probably be tied up in litigation for years, and the only people making any money on it would be the lawyers. Look, we are both edgy and we've lost our tempers. But the fact remains that the law is the law, and even if we want to fight it we still have to get the job done. Let's try to work something out."

P: "I guess you're right, but I still don't like it. This kind of thing really gets to me . . . . O.K., let's see how we can meet our responsibility—even if we get buried in paper, we may be able to do something that will help the school."

From the foregoing transaction, it appears that a useful Adult-Adult relationship is being established. Although the principal is still upset, both administrators are trying to work things out constructively. The diagram below illustrates this transaction.

Transaction Number Nine



Since Transaction Number Nine can be classified as Adult-Adult, the prospects for progress in this situation have been greatly improved. If the superintendent and the principal had continued much longer with Parent-Parent or Child-Child transactions, no logical approach to the problem could have been taken. Similarly, if they had continued with crossed transactions like Transaction Number Six, their communication would have broken down completely. Again, this way of analyzing transactions can help you to understand and improve your interactions with other people; if they follow the Adult example you set, more productive two-way communication should result.

Our discussion is directly related to school or occupational situations where people are required to work together in order to achieve common goals and objectives. Certainly the creativity of the Child, the wonder of seeing and creating things in a fresh way, should not be completely restricted, alienated, or shut off; in fact, it is hypothesized here that a meaningful interpretation of the Adult should include the "playfulness" and "creativity" usually attributed to the Child. Our emphasis on the Adult is based on the fact that purposive, goal-oriented transactions represent the most productive interpersonal behavior in an educational setting.

Chapter 7

The Context of Motivation

THE HAWTHORNE STUDIES

Some of the most famous studies in industrial psychology and industrial sociology are those conducted at the Hawthorne, Illinois plant of the Western Electric Company during the mid-1920's and the early 1930's. These studies were not originally undertaken by psychologists or sociologists but by efficiency experts, whose goal was to study the relationship between plant illumination and worker productivity. These experts were trying to find out what illumination level would result in the highest level of worker producitivity. Since increased illumination would involve higher costs, they wanted to find the optimum level—the point where the increased cost of illumination was offset by the additional revenue generated by increased productivity.

The basic assumption upon which this research was based was that increasing plant illumination would increase productivity. To determine the actual increase in productivity, the workers were divided into two groups—an experimental or test group which worked under varying degrees of increased illumination and a control group working under normal plant lighting conditions. As expected, worker productivity increased within the test or experimental group. An unexpected result was that worker productivity also increased within the control group whose members were still working under normal plant lighting conditions.

Continuing their studies, the researchers also experimented with reduced plant lighting for the workers in the test group and found that their productivity continued to increase, even after the lighting was reduced below the normal plant lighting conditions under which they had originally worked.

Baffled by these unexpected results, the efficiency experts called in Elton Mayo (then a psychologist at Harvard) to explore the reasons for these findings. Mayo brought in a team of behavioral scientists to conduct a series of studies. Their first research project was conducted with a group of women whose job was to assemble telephone relays. For a year and a half the researchers continually improved working conditions for these women, providing longer rest periods, longer lunch breaks,

shorter work weeks, and better physical facilities. As expected, production increased. Then, the researchers eliminated all of the improvements and the women returned to the conditions under which they had worked before the experiment began. At this point an amazing thing happened—productivity skyrocketed to the highest level yet achieved!

These results made it obvious that physical working conditions alone had not motivated the higher productivity achieved, but that another motivating factor was involved—the human desire for the recognition of personal worth. The fact that they were being singled out to take part in an experiment together with the attention they received in the experimental process made these women feel that they were important to the company and were members of a cohesive group—not mere automatons performing a task. Like all human beings, they had specific "needs"—to feel that they were part of something, to be involved, and to be viewed as human beings rather than as impersonal machines.

Mayo and his team extended their research through interviews with more than 20,000 employees in every department throughout the plant, attempting to find out what the workers thought about their jobs, their working conditions, their company, their supervisors, and any other topics the workers wanted to discuss (Hersey and Blanchard, 1972).

Just interviewing the workers had an effect on productivity which increased again. Why? Workers not only appreciated having an opportunity to talk about their feelings and attitudes but also were flattered to learn that their opinions were considered important. They were "involved" if in no other way than in providing information to the organization. They suggested changes and many of their suggestions were accepted and implemented. As a consequence, they were able to feel that they were "participants" rather than mere "objects."

The Hawthorne studies had a significant impact on industrial relations as well as on management theories and organizational analysis. The results showed that pay and physical working conditions alone will not motivate people to perform to the full extent of their ability. Further, the studies showed that workers do not consider themselves isolated individuals—machine-like objects—but that they develop such a strong sense of group membership in their work situations that loyalty to their group becomes more important to them than loyalty to the company. When a conflict arises between work group goals and company goals, the goals of the work group are given first priority. This type of conflict most often occurred, Mayo noted, in situations where the workers were closely supervised and had little or no control over their jobs or job environment. In such situations, productivity tended to remain low or to decline.

The implications of the findings in the Hawthorne study are as important for school organizations as they are for industrial organizations. In any organization, involving subordinates in the planning and decision-making process increases productivity and reduces employee resistance to change because they have been involved in the decisions on change. For changes to be successful, we must also consider the group which will be affected by the change process. An individual's general attitudes are significantly influenced by group membership. It is as critical to involve the entire work group as a group as it is to involve the individual in the planning process.

As the Hawthorne studies showed, leaders don't really deal with subordinates as individuals but as members of a group of people performing similar tasks. Since an individual's behavior is peer-influenced to such a great extent, the leader, to be successful, must motivate the group as well as individual group members.

THEORY X AND THEORY Y

McGregor (1960) and Blake and Mouton (1964) are among the authorities who have been active in attempting to dispel the myth that humanism has no place in management. With regard to the world of work, their premise has been that as people become more sensitive to the needs of others, they also become more responsive and allow others a greater degree of freedom.

Obviously, different styles of organization, planning, control and leadership involve different kinds of requirements for the individual. These requirements affect both productivity and the individual's attitude toward the organization.

An inherent problem in humanistic management and decision-making is that of tradition. Also, in many organizations management personnel are opposed to the idea of group involvement in management decisions; they are afraid of losing control which, in turn, they view as posing a threat to organizational stability. Such an attitude may be manifested by resistance, antagonism, or a lack of cooperation in relation to organizational goals.

According to McGregor's Theory X and Theory Y, to be effective leaders must shift from an arbitrary "thou shalt" position (Theory X) to one of "management by consensus" (Theory Y). Theory X describes the traditional approach to management and supervision which is based upon the following assumptions about human nature and human behavior:

1. The average person inherently dislikes work and will avoid it whenever possible.

2. Because people dislike work, most people must be coerced, controlled, directed, and threatened or their efforts to achieve organizational objectives will not be adequate.
3. The average person prefers to be directed, wants to avoid responsibility, is not ambitious and, above all, wants security.

Theory Y, which embodies McGregor's concept of the integration of individual and organizational goals, is based on the following assumptions:

1. The expenditure of physical and mental effort in work is as natural as play or rest. The average person does not inherently dislike work. Depending on controllable conditions, the individual probably considers her or his work either as a source of satisfaction (to be voluntarily performed) or as a source of punishment (to be avoided if possible).
2. External control and threat of punishment are not the only ways of encouraging people to work toward organizational objectives. People will exercise self-direction and self-control to achieve objectives to which they are committed.
3. Commitment to objectives, in turn, depends upon the rewards associated with their achievement. The most significant of such rewards (e.g., the satisfaction of esteem and self-actualization "needs") may be the direct products of individual efforts to achieve organizational objectives.
4. Under the proper conditions, the average person can learn not only to accept but also to seek responsibility. Avoidance of responsibility, lack of ambition, and emphasis on security are generally based upon past experience; they are not inherent human characteristics.
5. The ability to exercise a relatively high degree of imagination, ingenuity, and creativity in attempts to solve organizational problems is widely, not narrowly, distributed in the population.
6. Under the current conditions of industrial life, the intellectual potential of the average person is only partially utilized.

MATURITY AND IMMATURITY – THE CONCEPTS OF ARGYRIS

In several works (*Integrating the Individual and the Organization*, N.Y., Wiley, 1964 and *Personality and Organization*, N.Y., Harper and Row, 1957), Argyris has suggested that the development of worker behavior is analogous to the development of human behavior from infancy to adulthood or from immaturity to maturity.

In infancy, an individual is dependent and weak, with few interests or alternatives. In maturing, a person moves from this initial dependence to increasing

independence, with a broadened range of interests and outlets.

The successful growth of an individual in an organization follows a similar path from immaturity to maturity; there are, however, many factors and influences in life and in organizations that encourage individual immaturity by denying people the opportunity to achieve adulthood.

In most school districts, there exist countless policies, procedures, adopted texts, lesson plans, lesson guides, hours for recess, and outside activities, etc., that make it difficult for an individual teacher (or administrator) to achieve "adulthood" or "maturity" within the school organization.

If we treat either children or adults as if they were immature, they may tend to act immaturely – continuing the role which they think we expect and which we indeed reward by not encouraging more mature behavior or by failing to expand their interests and abilities. Immature behavior will become their "style."

Suggestions for making the environment more flexible will generate anxieties in such people, since they do not have the adaptability, independence and confidence required to respond successfully to change.

When a new educational program is introduced, there is a shift from "business as usual" to a situation where alternative ways of planning, doing, or evaluating are being considered. We are, perhaps, in a case like this, asking school personnel to shift from highly constrained behavior based upon previous restrictions, policies, procedures, and rewards to the more mature behavior required in the changed environment. This new behavior pattern will require new responses, relative autonomy, and responsibility – and we may not be able to offer any assurance that the new behavior will be satisfactorily rewarded. We are trying to encourage a shift in behavior from immaturity and dependence to maturity and independence with the acceptance of responsibility.

In order to apply Argyris' concepts, an administrator or manager must take the lead in providing an environment which encourages mature responses over time. This requires changing the rewards, policies, procedures, assignments, and interactions which were in effect when immature behavior was the rule. If mature behavior is to be attained, personal growth must be encouraged and rewarded. Each person's individual "needs" must be considered and a cooperative environment must be created which supports the development of common goals and objectives.

HERZBERG AND MASLOW

Herzberg has some interesting ideas on motivation and the environment – so interesting that they may provide one of the most revolutionary concepts available

for school managers interested in change (Herzberg, 1966, and Herzberg, Mausner, and Snyderman, *The Motivation to Work*, Wiley, 1959). In Chapter 5, we briefly discussed Maslow's hierarchy of "needs" as well as some of Herzberg's ideas and the relationship between the theories of the two men. "Hygiene factors" may be enhanced to meet physiological, safety, and social "needs," while "motivators" may contribute to the satisfaction of "needs" associated with esteem and self-actualization.

Thinking in terms of Herzberg and Maslow's work, we can conclude that if an organization meets the safety and social "needs" of group members or employees, the level of current performance generally can be maintained; if growth and change are to be encouraged, however, "motivators" must be used that provide opportunities for achievement, recognition, advancement, and self-actualization.

Let's see how this idea could be applied in a school setting. Suppose that in a given school, teachers and administrators enjoy an acceptable salary scale and satisfactory social (peer) relationships. Their basic "needs" for such things as food, shelter, and clothing are being met. Some employees have titles, while loyalty and dependability are rewarded with a modicum of esteem. In Herzberg's terms, these "hygiene factors" contribute to the achievement of a relatively satisfactory level of performance (teaching, report writing, record keeping, etc.). These "hygiene factors" are already making satisfactory performance levels possible; extending these "hygiene factors" by offering work incentives, overtime pay, better facilities, more coffee breaks, etc., will not be enough to motivate people to achieve improved levels of performance. How can we encourage better performance? If Herzberg is correct, improved performance will not be achieved with such "hygiene factors" as teaching aids or new offices but with "motivators" – new challenges, increased responsibility, and recognition of individual accomplishment by both peers and supervisors. The rewards offered should be related to the job itself (rather than to the environment); in other words, to "enrich" the job the opportunities for self-actualization should be increased.

Although these notions make sense when they have been incorporated into daily school operations, initially it is difficult to implement them because so many school board members and administrators feel that people work only for money and security and, therefore, are basically "hygiene factor" oriented. This was clearly demonstrated by the study reported by Hersey and Blanchard where the findings showed a vast difference between the factors the supervisors thought were important to the workers and the factors the workers actually considered most important. The supervisors emphasized the "hygiene factors" to a much greater extent than did the workers.

The reward structures in most organizations are based almost entirely on "hygiene factors." This is particularly true of most school systems. It is difficult to reward people in either tangible or intangible ways for outstanding performances since the system is designed to treat everyone in the same way and to emphasize the satisfaction of safety, security, and physical "needs." Of course, these basic "needs" must be met if the organization is to maintain an acceptable environment, but "needs" related to esteem and self-actualization cannot be satisfied unless different rewards can be offered. For example, suppose that a teacher has devised a new way of structuring reading so that students achieve higher levels of performance in less time. How can the teacher be rewarded? Salary is fixed (by scale) and working hours cannot be changed – the "hygiene factors" are fixed and given. The only thing the supervisor can do is congratulate the teacher for a job well done and perhaps seek a commendation from the school board for the teacher. If the supervisor wanted to make sure that this behavior was continued, provisions would have to be made within the system for some "motivators," e.g., payoffs related to recognition, advancement based upon performance.

We have a long way to go in the field of education if we are to provide effective "motivators," but perhaps now we can begin.

LIKERT'S MANAGEMENT SYSTEM CONCEPTS

Likert notes that two kinds of resources are available to every manager, capital and human resources, and that human resources are the more important of the two for successful activity (*The Human Organization*, McGraw-Hill, 1967 and *New Patterns of Management*, McGraw-Hill, 1961). He argues that organizational environments should be people-oriented rather than thing-oriented. Likert describes four generally prevailing management styles (or systems, as he calls them), varying from the kind of management approach which involves creating an environment of fear, threat, and punishment and providing rewards that meet physiological and safety "needs" only (System 1) to a management approach in which trust, understanding, and confidence in subordinates are emphasized and rewards are provided which satisfy "needs" associated with self-actualization (System 4). Each of these systems is related to a particular level of productivity, with the System 4 approach related to the highest level of productivity. Thus, the more successful the rewards available are in satisfying "needs" associated with esteem and self-actualization (the higher levels of Maslow's hierarchy), the greater worker productivity, involvement, and responsiveness to change will be.

THE RABBLE HYPOTHESIS

In the early days of the industrial revolution, people were often thought of as automatons, an unruly rabble best controlled when they were scared, bullied, and kept dependent upon the whims of their employer – thus a "rabble hypothesis" (Mayo, 1933). The early work of Frederick Taylor, referred to unfortunately as "scientific management," was based upon the idea of man as a machine (or member of the rabble). Higher wages for workers and greater productivity did follow Taylor's study of work. It should be recognized, however, that in our view he did not use a completely "scientific" approach because only the physical aspects of work and workers were treated – aspects related to the workers as human beings were not taken into account.

Today, "Taylorism" is still conventional wisdom for many managers, including supposedly enlightened school managers who continue to cling to the belief that people are primarily motivated by money, safety, and security – a day's work for a day's pay. Far too often we treat our fellow educators as if they were a "rabble," assuming that the most effective motivators in our work situations are related to satisfying safety, security, and physiological "needs."

We admit, of course, that unless basic "needs" have been satisfied other things are of little importance – a person who is starving usually has no inclination to appreciate Picasso. In order to operate more effectively and scientifically, however, managers have to deal with the complete person, not with basic "needs" alone. This is especially true if they are interested in initiating change successfully.

Herzberg makes a great deal of sense when he says that "hygiene factors" must be provided to assure minimal performance levels; when he points out that for change and growth to occur "motivators" must be provided, he makes even more sense. We have to be concerned not only with supplying "hygiene factors" in the work environment, but also with providing rewards for achievement which satisfy "needs" related to esteem and self-actualization. This is especially important in our current culture where most people receive physiological, safety, and social payoffs as a matter of course; in the educational field, "needs" on the first three levels of Maslow's hierarchy are relatively well satisfied as a result of simply being employed. Meeting these "needs" does not encourage either positive change or improved performance. The insights provided by Maslow, Argyris, Likert, McGregor, and Herzberg can be usefully applied in our interactions with both our peers and our students. To improve performance and encourage individual growth, uniquely human "needs" must be satisfied in the learning/teaching environment.

HYPOTHETICAL EXAMPLE

Dexter School District is located in the northeastern part of the United States and is an old, established school district. School personnel have been reasonably willing to implement new programs; nothing seems to work very well, but nothing seems to work too badly either.

The salary schedule established by the board for all of the credentialed teachers and administrators is based upon years of service and the highest academic degree and/or number of college credits earned. Members of the school board, concerned about the low scores students have been achieving on standardized tests, have been considering using a system of financial penalties and rewards for teachers which would be based upon changes in the performance of their students. Board members are upset; they have been complaining about top-heavy management and lazy teachers and are looking for ways to improve the district schools. They have been visiting some classrooms without advising the teachers in advance and have criticized the teachers because some of the children were found "milling around" instead of sitting quietly at their desks. Some elementary school teachers have also been criticized for the appearance of their classrooms, e.g., if there is paper on the floor. The board members have decided to freeze all salaries until they feel the situation has improved.

POSSIBLE ANALYSIS

The members of this school board are operating on the basis of Theory X. Their approach is based upon the assumption that people can most effectively be motivated by money. They think of both punishment and rewards in terms of money, a "hygiene factor."

The situation in this school district will not improve because the supervisory people are treating school personnel as "objects" and not as people. To achieve their objectives, the board members will have to change their basic strategies and thinking to a Theory Y orientation and offer the kinds of rewards that are likely to encourage true change and improvement. This will not be an easy task, but no reasonable alternatives exist.

A FEW KEY CONCEPTS
CHAPTER 7: THE CONTEXT OF MOTIVATION

The Hawthorne studies show that the human desire for recognition of personal worth can effectively motivate people to increase productivity. The implications of these findings are important in planning successful change since they support the involvement of the whole team in planning activities.

In formulating Theory X and Theory Y, McGregor contrasts a management approach where people are seen as having to be forced to work with an approach that recognizes the intrinsic dignity and value of the individual and her or his desire to work. The Theory Y approach should enhance the integration of individual and organizational goals; it emphasizes meeting the esteem and self-actualization "needs" of the individual through the achievement of organizational goals.

Argyris' ideas are applied by educational managers when they provide an environment which encourages more mature behavior by the people within the organization. More mature behavior, in turn, will improve organizational results and the sense of personal worth of the people involved.

The ideas of Herzberg and Maslow are complementary: "hygiene factors" can be associated with the lower level "needs" in Maslow's hierarchy, while "motivators" must be used if the higher level "needs" Maslow has identified are to be satisfied. In managing change, performance can be improved by job enrichment.

Likert discusses four systems of management. Along the continuum between System 1 and System 4, both maturity and use of "motivators" increase; the differences between System 1 and System 4 are analogous to the differences between Theory X and Theory Y.

An environment that fosters positive, planned change is one where people are generally treated as having dignity and worth. This position does not support the way in which most schools currently are organized and the way in which most educators are being treated and rewarded. The current educational environment can be described in terms of Theory X, immature organizational behavior, "hygiene factors," and a System 1 management style. This environment must be changed if we are to implement educational change successfully.

Chapter 8

"Hygiene Factors" and "Motivators"--Herzberg's Model

INTRODUCTION

As you will recall from the material presented in Chapters 5 and 7 on Herzberg's work, two distinct types of rewards generally are used in organizations to improve or maintain employee performance. "Hygiene factors" involve rewards that are related primarily to economic security and physical well-being (salary, fringe benefits, pension plans, better lighting, pleasant surroundings, longer coffee breaks, etc.), while "motivators" are rewards based on the individual's "need" to be valued as an individual rather than just as a producer. To reward with a "motivator" is to recognize the employee's worth as a human being with the potential for making meaningful contributions and the ability to be self-directed rather than as someone to be treated like a robot who can only carry out orders in a narrowly defined area. "Hygiene factors" basically are related to the job environment, while motivators are related to the job itself.

The example presented for your review and analysis focuses on the contrast between these two kinds of rewards. We wish to emphasize that organizations are different in both the efficacy and the feasibility of their reward mechanisms. In some highly mechanized situations (e.g., on an auto assembly line or piece-work in the garment industry) "hygiene rewards" may tend to be emphasized. The teaching process, on the other hand, offers many opportunities for varied behavior and alternative responsibilities and rewards.

HYPOTHETICAL EXAMPLE

A great deal of acrimony has developed among the teachers, administrators, and board members in the Woodside School District. Every board meeting turns into a confrontation between the teachers on one side and the administrators and board members on the other. Several years ago the teachers requested that the board and the administrators allow them to have their own representative attend planning meetings on future district budgets and salary scales. The school board refused the teachers' request, saying that this was not a part of the employment contract and

that these topics were beyond a teacher's range of expertise. Most of the administrators agreed, indicating that budget preparation was a management responsibility and that to allow the teachers even minimal involvement would be to give up management rights.

One administrator, who had studied at a university where the "hygiene factor"/"motivator" theory was taught, disagreed with her colleagues and the board members. She pointed out that since budgets determine the allocation of funds, they can affect curriculum and the learning process and, therefore, are of legitimate concern to teachers as professionals who might be able to offer valuable insights. At one board meeting she stated flatly that to allow the teachers to be represented in the budget-making process would not weaken management but would provide useful additional input in developing more rational and realistic budgets. She further stated that, if the teachers were more satisfied with their jobs and more involved in management activities, the quality of teaching should improve – leading, in turn, to improved student performance. By mutual agreement, she is no longer with the school district.

Subsequent requests by the teachers to be represented in planning meetings were also rejected by the board; the board's position was supported by the superintendent. Approximately four years ago, the teachers' association merged with the much smaller local teachers' union and when the state passed a mandatory collective bargaining law two months later, the union was overwhelmingly selected as the teachers' bargaining agent. After six months of bitter negotiations (which included a four-day strike), the board and the union reached an agreement which provided, among other things, for the inclusion of someone to represent the teachers in budget committee meetings. The teachers also received higher salaries, improved health and pension plans, longer lunch periods, and an extra coffee break each day. To most observers, it seemed that teacher morale was improved and (although they had not originated the improvements) members of the school board were hopeful that student performance might improve since the teachers were more satisfied with their working conditions. Later, however, student scores on standardized tests were published which showed no improvement in performance.

Stunned by these findings, the board hired an outside consulting firm to find out why student performance had not improved. After their study the researchers reported that while they could not answer this question, they had noted from talking to the teachers that most of the teachers felt that the climate of the district was unchanged. The teachers did mention that they were receiving higher salaries and seemed to feel that was a positive development. They were able to do more things with their families, and no longer had to find part-time jobs to provide

supplementary income or worry about family illnesses and the economic consequences. Generally, however, they felt that in spite of all the improvements their work was still the same old grind.

Upon receiving this information, many of the board members and administrators became very upset, feeling that their worst suspicions about the teachers had been confirmed – they felt that although the teachers had been given everything they wanted they still were not satisfied and, even worse, the district was paying more money to achieve the same performance levels. The meeting ended with agreement that the teachers just wanted a handout and that in the future the board should take a very firm position against further concessions.

When the students' scores were made public, members of the community demanded an election in which three school board members were replaced by candidates who had campaigned for a tough, authoritarian stance on the part of the school board. The first act of the new board was to hire a labor consultant who recommended that since the teachers' union had a contract, the school should be operated like a factory with the teachers required to punch time cards, punching in and out for coffee breaks and lunch periods, and to meet all of the requirements specified in the contract between the union and the board. When the teachers' representatives complained that such requirements were inappropriate for professionals, the administrators and board members replied that the teachers had forfeited their professional status by organizing a union and engaging in collective bargaining and, furthermore, that a binding contract had been negotiated and agreed upon by both sides.

During the next round of contract negotiations the teachers responded; they demanded a cost-of-living raise, longer coffee breaks, an improved sabbatical program, and improved health and pension plans. The board rejected all of these demands and countered with a demand that class size be increased and that some members of the teaching staff be dismissed. The board's rationale was that since increased salaries and fringe benefits had shown no relationship to student performance, reduced expenditures would not decrease teacher productivity or student performance. The teachers responded that increased class size would reduce student achievement and that, if anything, class size should be reduced because large classes were the major single reason for poor student performance.

After nine months of acrimonious negotiations which included a two-week strike, a compromise was reached – the teachers received a cost-of-living wage increase but no additional fringe benefits. The board did agree to reduce class size in some district schools to determine whether this improved student performance. The board agreed, if this change were successful, to reduce class size in all district

schools. They also agreed that if student performance improved, they would re-open negotiations with the teachers on improved fringe benefits.

The program to test the results of reduced class size was tried for a year; then student performance was compared with student performance in the schools where class size had not been reduced. No statistically significant differences were found in the performance of the two groups of students. The board members were now convinced that teachers' wages should not be increased, and in the next round of contract negotiations they insisted upon keeping all salaries at existing levels. They also considered insisting upon increased class size throughout the district which would, in turn, have resulted in a surplus of teachers. At this point, the board gave the teachers a voice in the decision: they could keep their jobs with class size at the same level and their salaries reduced or salary levels could be maintained and class size increased, with 25 percent of the teachers losing their jobs. The teachers selected the first alternative. Unfortunately, statewide tests a year later showed that student performance in the district schools was below previous levels.

Use the information provided in the hypothetical example to answer the following questions:

1. What was the teachers' initial demand? *(See page 87.)* Would you classify what they requested as a "motivator" or a "hygiene factor"?

2. As a result of the collective negotiations between the teachers and members of the school board, what benefits did the teachers receive? *(See page 88.)*

3. Which teacher benefits would you classify as "motivators" and which would you consider "hygiene factors"?

4. Now, analyze the second round of negotiations. Should these requests and responses be identified as "motivators" or "hygiene factors"? *(See pages 89-90.)*

Check your answers with ours, and then read the analysis provided.

1. What was the teachers' initial demand? *(See page 87.)* Would you classify what they requested as a "motivator" or a "hygiene factor"?

   The teachers wanted to have their own representative participate in planning district budgets and salary scales. This request should be classified as a "motivator."

2. As a result of the collective negotiations between the teachers and members of the school board, what benefits did the teachers receive? *(See page 88.)*

   The teachers received representation on the district budget committee, higher salaries, improved health and pension plans, longer lunch periods, and an extra coffee break each day.

3. Which teacher benefits would you classify as "motivators" and which would you consider "hygiene factors"?

   "Motivators" – Participation in budget planning
   "Hygiene Factors" – Improved salary, health, and pension benefits plus more time for lunch and coffee breaks.

4. Now, analyze the second round of negotiations. Should these requests and responses be identified as "motivators" or "hygiene factors"? *(See pages 89-90.)*

   "Motivators"
   Board Request: increased class size
   Teacher Response: request for reduced class size
   Result: a program to check the effect of class size on student performance

   "Hygiene Factors"
   Board Request: time cards, full compliance with contract
   Teacher Response: requests for a cost-of-living raise, improved health and pension benefits, longer coffee breaks, and an improved sabbatical program.
   Result: a cost-of-living raise

POSSIBLE ANALYSIS

The situation described here may be extreme, but all of these elements can be found to some degree in studying teacher-board/administration relationships in many school districts in this country. The traditional school board attitude has been

that teachers are employees who are little different from factory workers – they can be motivated only by more money, better fringe benefits, and less work – and unless they are watched and controlled, they will not perform. This view reflects the Theory X idea that people are inherently lazy and must be prodded and pushed to be productive. The teachers' first demand was to be involved as professionals who could make a valuable contribution in planning activities related to the educational process. The board responded in terms of their concept of teachers and the assumptions that people can only be motivated by greed or the fear of hunger and that the world of management and the world of the worker are so different that cooperation between the two is impossible.

The development of the teachers' union was a response to the school board's view of the school system as a factory. Except for the demand for representation on the budget committee, union demands were for "hygiene factors" rather than "motivators." It is not surprising that productivity did not improve – as Herzberg has carefully noted, an increase in "hygiene factors" will not stimulate higher performance levels, particularly among professionals. Nor is it surprising that student performance declined when the school board cut teachers' salaries – as Herzberg also observed, "hygiene factors" must be kept at current levels to maintain whatever levels of productivity and/or performance are currently being achieved.

It is clear that the board and the union are now locked in a struggle over the level of "hygiene factors" to be accorded the teachers. No attention is being given to introducing new ways of motivating the teachers. We would venture to guess that as long as the struggle over "hygiene factors" continues between the teachers and the board/administration, student performance will remain the same.

It should be noted that when the teachers were allowed to decide whether to have their salaries reduced or lose 25 percent of the teaching staff (see page 90), they decided to support their fellow teachers. Their decision provides an excellent example of the way group membership and loyalty to the group can influence the behavior of individuals.

What is interesting about this example (and the kind of teachers' union-board/administration collective bargaining relationships it illustrates) is that, no matter what contractual arrangements are worked out in the area of "hygiene factors," it is still possible to shift to the use of "motivators" that provide recognition and opportunities to meet individual "needs" related to esteem and self-actualization. This shift does not involve any loss of managerial prerogatives or enhanced teacher prerogatives; it does involve recognition of the human "needs" of all individuals.

We would suggest that you develop a list of all the "hygiene factors" used to motivate your educational team and a list of all of the "motivators" that are being

used. Then ask administrators and teachers to tell you what kinds of things *they* believe motivate people in general and educators in particular.

Consider these lists in terms of what Herzberg and Hersey and Blanchard, among others, have written on what is required to meet the human "needs" described by Maslow and to achieve improved levels of productivity. You may find that not only most administrators and board members but also many teachers think mainly in terms of "hygiene factors."

If only "hygiene factors" are emphasized in your school district, the first step in bringing about change does not involve an abrupt shift to the use of "motivators." To build commitment to change, the initial step in the transition from "hygiene factors" to "motivators" might well be taken through discussions with the entire educational team on how people are motivated and on the ideas of some of the humanistic theorists we have discussed.

Chapter 9

Leadership Models

INTRODUCTION

Leadership requires motivational strategies, and in selecting these strategies we are significantly influenced by our views of human behavior. In his classic work, *The Functions of the Executive* (1938), Chester Barnard described leadership as accomplishing goals with and through people – noting that to be successful, leaders must be both task-oriented and people-oriented. As we all have observed, however, developing these complementary orientations in effective proportions is not easy. When good balance in these two orientations can be achieved by the leaders in an organization, everyone profits. The achievement of individual goals can be linked to the achievement of organizational goals.

If we were to locate leadership strategies along a continuum, most behavioral scientists would place task-oriented strategies at one end and people-oriented strategies at the other. In the literature of management theory, task-oriented leadership strategies have often been referred to as authoritarian, while people-oriented leadership strategies have been described as democratic. This distinction is based upon the belief that a leader has only two ways of encouraging subordinates to perform: (1) telling them what to do and how to do it with no input from them or (2) sharing leadership responsibility by involving subordinates in planning and decision-making as well as in the actual performance of their tasks.

Although some leaders who are totally task-oriented justify their behavior on the basis of their view of human nature alone, it should be noted that all organizations require at least some measure of task orientation if organizational goals are to be achieved. Attention to necessary tasks does not necessarily mean that a specific leader is an authoritarian, since in any organization the leaders must give the necessary tasks a great deal of attention. Similarly, the fact that a leader is concerned with the interpersonal relationships within an organization does not necessarily mean that his or her leadership strategies are democratic but supports the view that human relationships (the people-oriented dimension of leadership) must also be considered if organizational goals are to be achieved.

We do not feel that these polar concepts of authoritarian and democratic leadership should limit our consideration of leadership strategies. They do not necessarily conflict and no leader's options should be limited by an attempt to choose between the two. We suggest that leadership requires constant reassessment to determine when task-orientation and people-orientation respectively should be emphasized. Research on leadership strategies or styles shows that these styles vary considerably from leader to leader even within a given organization. In some organizations no particular style dominates and, thus, the mixes of task-orientation and people-orientation vary among the leaders involved.

We believe that effective organizational leadership strategies are not limited to the two basic styles just discussed but that various mixed strategies are possible, based on current assessments of subordinates' perceptions, attitudes and "needs" in specific situations.

TRAITS VERSUS SITUATION AS THE BASIS FOR LEADERSHIP

Leaders exist in all societies and all organizations. Recreational groups have leaders and children's play groups have leaders. But how do we define a leader? Are our leaders really different from the rest of us? How are they different, and why are there poor and inadequate leaders as well as successful leaders?

When children play follow-the-leader, the leader is not necessarily the best player but someone all the children agree should be the leader. Children know that, aside from the game, some of their peers perform better than others in things they consider important and that there is usually one person in their play group who would make the best leader.

In this sense, leadership means being the person best qualified for a specific task or group of tasks. Thus, different types of leaders are required for different types of situations – instructional leaders, business leaders, scholastic leaders, and athletic leaders. But the question which continually concerns behavioral scientists as well as philosophers is *why*, in some situations, some people are able to be leaders while others can only be followers. Are leaders truly unique or is there little difference between the leaders and the followers?

There are two opposing views in the behavioral sciences with regard to this question: in one view, leadership involves certain inherent traits which some people have and others do not, and, no matter what the situation is, the people with those inherent traits will become leaders; the opposing view is that leadership is a situational matter – that some people due to their background, experience, values,

and attitudes will be leaders under some sets of conditions but not others and that whether people are leaders or followers depends upon the circumstances. Both points of view can be illustrated by posing a question: had the French Revolution not occurred would Napoleon ever have become more than an enlisted man pursuing an uneventful career in the French army or would he still have become a leader of worldwide importance?

One British philosopher, Thomas Carlyle, would have expected Napoleon to stand out – no matter what the circumstances. He viewed leadership in terms of the "great man" theory. To Carlyle and others subscribing to this point of view, all of the great changes which have been experienced in the world are related to the individual achievements of uniquely and inherently talented people. This perspective on leadership was (and still is) the primary stimulant for research on the personality traits associated with leadership; this research, however, has produced little in the way of useful results (Bird, 1940).

An opposing view on leadership is the theory of "cultural determinism" which has been advanced primarily by sociologists and anthropologists. To a "cultural determinist," great leaders are not unique people in and of themselves but products of the social forces of the period in which they live. In this view, social forces build up which reach such magnitude that change must occur. When an individual appears who can express the social forces of the period and organize others, that person becomes a leader in the group pursuit of change. This point of view is focused upon the situational elements of leadership – outside forces that explain leadership behavior by an individual.

A critical test of these two points of view was conducted by Carter and Nixon (1949). They conducted an experiment involving leaderless groups of high school boys. In three leaderless situations, all of the boys were assigned a specific task. The three situations included an intellectual task, a mechanical task, and some clerical activities. The researchers' basic assumption was that if leadership is not situational but the result of a unique trait or combination of traits, a boy who emerged as a leader in one kind of situation should also become a leader in the other two kinds of situations. Their findings showed that the boys who emerged as leaders in the intellectual task also tended to be leaders in the clerical activities but that new and different leaders emerged when the mechanical task was undertaken, indicating that the leadership requirements for different situations are not the same. The authors noted a greater similarity in the leadership requirements for the intellectual tasks and clerical activities than between the requirements for leadership in either of these situations and those required for the mechanical task.

Research such as this over the past forty-odd years has failed to demonstrate

any unique leadership traits that do not vary from one situation to another. Ralph Stogdill, reviewing the evidence, concluded that leadership is not related to the singular qualities of the person in the leadership role but is rather a consequence of the relationships among the people performing the various roles in a social situation.

The implication of these findings for the school administrator is that different situations call for different talents which are not unique to a few people; given the opportunity, many people have leadership ability and are capable of leadership performance. Thus, for educators who are interested in managing change, the most effective strategy is to create conditions where subordinates can take on leadership responsibilities within their formally prescribed roles.

If it is true that the kind of leadership which evolves depends upon the situation, it would be useful to consider different situations and determine how leadership "styles" vary. This has been done by a number of researchers and conceptual models of various leadership styles have been developed. Some models designed to show different leadership styles are described on the following pages.

It should be noted that most of this work has been described in an industrial context. We think, however, that the concepts involved are basic enough to be useful when applied in educational management.

MANAGERIAL GRIDS AND A TRI-DIMENSIONAL MODEL

Blake and Mouton (1964), in a managerial grid depicting organization and management practices, identify five leadership styles which focus on two components: concern for production and concern for people. By representing these two components on two axes and by arbitrarily assigning equal interval numerical ratings along each axis, leadership styles can be described in two dimensions. In the illustration on the next page the horizontal axis represents "Concern for Production" while the vertical axis represents "Concern for People." A rating can be given to an administrator in terms of the relative degree of "concern" expressed in these two areas.

The following five definitions cover the leadership styles related to the extreme positions within each of the four quadrants as well as their intersection in the Blake and Mouton model.

Impoverished leadership style – sustaining organizational membership through minimum efforts to accomplish the work assigned.

Task leadership style – reducing the human element by arranging working conditions so that potential interference is minimized in order to obtain perceived efficiency in task performance.

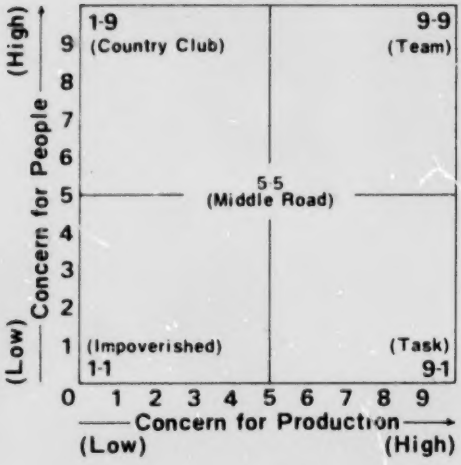


Figure 9.1 Managerial Grid: Concern for Production vs. Concern for People, after Blake and Mouton, 1964.*

Country Club leadership style – satisfying human relationships through thoughtful attention to the "needs" of people even though performance may be slighted.

Team leadership style – committed people accomplishing work defined in terms of shared organizational goals.

Middle-of-the-Road leadership style – balancing the maintenance of worker morale with the demand to perform the necessary tasks (Blake and Mouton, 1964).

A grid developed in connection with some leadership studies at Ohio State University is similar to the Blake and Mouton managerial grid. The Ohio studies led to the development of a two-dimensional model: the horizontal axis represents "Initiating Structure," while the vertical axis represents "Consideration." While the Blake and Mouton model indicated equal interval numerical ratings along each axis,

*Paul Hersey and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*, 2nd ed., 1972, page 75. Reprinted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

the axes in the Ohio State model indicate non-quantified ranges from low to high. Another difference between the two models is that although in the Ohio State model the four quadrants are used to define leadership styles, the point where they intersect does not have a separate identity as it does in the Blake and Mouton grid.

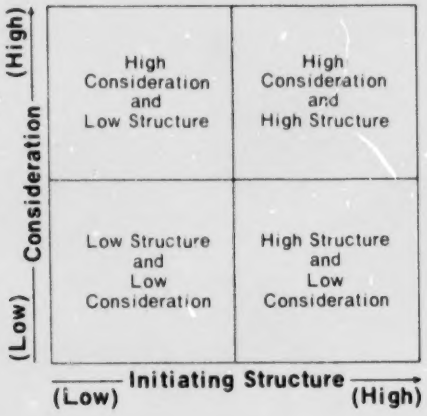


Figure 9.2 Leadership Grid: Initiating Structure vs. Consideration, after Hersey and Blanchard, 1972.*

In the Ohio State model, the following definitions are used for the two dimensions of leadership illustrated on the grid:

Initiating Structure – behavior exhibited by a leader who (1) delineates the role structure and role relationships between and among himself or herself and group referents (staff) and (2) defines the structure of the social organization within which the group is to function, i.e., the social hierarchy, channels of communication, operating procedures, etc.

Consideration – behavior exhibited by a leader that indicates respect, trust, friendship, feelings of warmth, etc., for group referents (staff).

*Paul Hersey and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*, 2nd ed., 1972, page 74. Reprinted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

Hersey and Blanchard point out an important distinction between the two models – while the Blake and Mouton grid is an attitudinal model, the Ohio State grid is a behavioral model. On the Blake and Mouton grid, a manager's attitudes on the relative importance of production and people can be examined, i.e., is he or she most concerned with maintaining good human relations or emphasizing productivity? On the Ohio State grid, two dimensions of leadership behavior can be examined – the extent to which a manager initiates structure to facilitate task achievement and the extent to which he or she exhibits consideration for others in developing interpersonal relationships (Stogdill, 1957).

Hersey and Blanchard integrated the two grids in the following way:

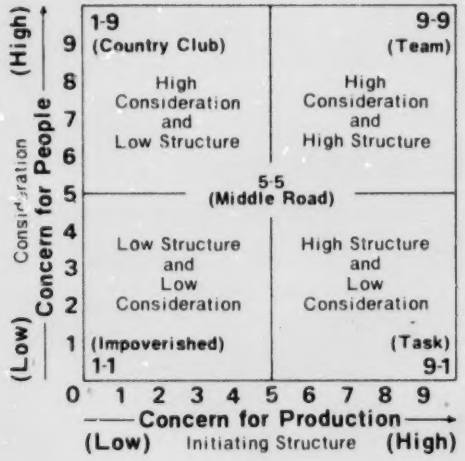


Figure 9.3 Managerial Grid and Leadership Grid: An Attempted Integration, after Hersey and Blanchard, 1972.*

*Paul Hersey and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*, 2nd ed., 1972, page 76. Reprinted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

These two-dimensional models were amplified by Reddin (1970) to illustrate the parameters of leadership effectiveness. His tri-dimensional model was intended to explain the relationship between leadership style, effectiveness, and the demands of a particular situation. The following illustration depicts this relationship:

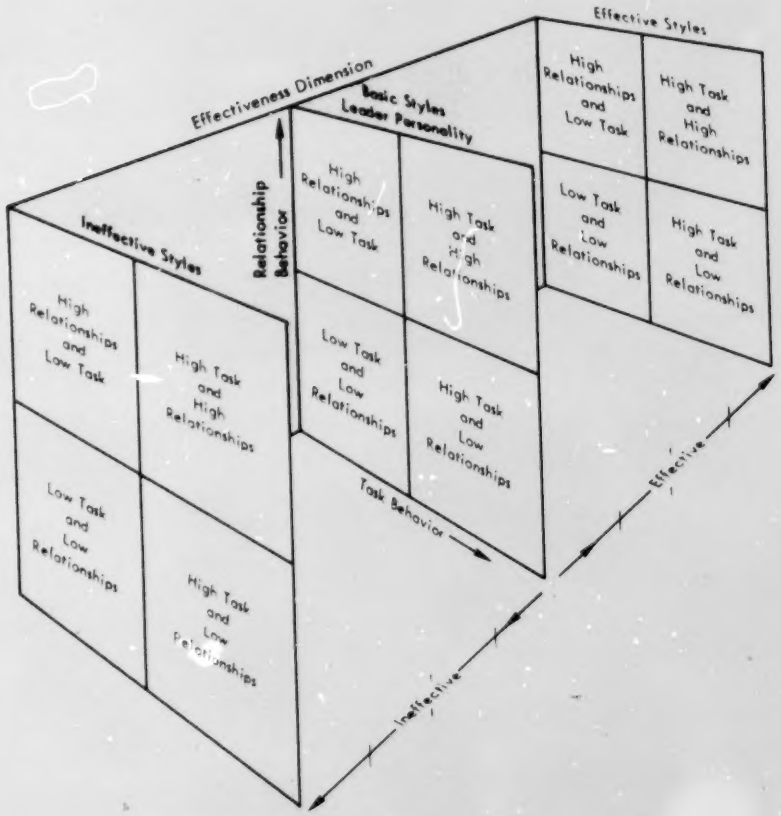


Figure 9.4 From Hersey and Blanchard 1972.*

*Paul Hersey and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*, 2nd ed., 1972, page 84. Reprinted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

In this tri-dimensional model, the following definitions are used for the two dimensions of leadership illustrated:

Task Behavior – behavior a leader exhibits in organizing and defining role relationships with group referents (staff); delineating required objectives, activities, performance requirements, and methods-means for their accomplishment; and specifying the patterns and hierarchy of the social organization, including channels of communication.

Relationship Behavior – behavior a leader exhibits that indicates socio-emotional support for group referents (staff) in order to maintain personal relationships through improved channels of communication, the delegation of responsibilities, and the provision of self-actualizing experiences (Reddin, 1970).

Although all four of these models show some similarities in the way they treat the dimensions of leadership behavior, they also show significant differences. For example, while the two dimensions of the Ohio State model ("Initiating Structure" and "Consideration") are separate dimensions of leadership they are not separate entities. Nor are these two dimensions on a single continuum. Rather, the behavior exhibited by a given administrator is mixed – i.e., the fact that leadership behavior is classified as low in one dimension does not imply behavior rated as high in the other dimension. Also, the high structure-high consideration leadership style indicated should not be construed as ideal leadership behavior. Since the Ohio State grid provides a tool which can be used to define how leadership behavior may be perceived by others, it more closely approximates a behavioral model, while the Blake and Mouton grid provides a tool which can be used to define and measure the predispositions or attitudes of specific leaders. It is based on the premise that leader attitudes oriented toward team management will result in the greatest human and production gains. That is, it implies that a leader with a rating of "9 - 9" is considered highly concerned about production and highly concerned about people.

The premise of the tri-dimensional model is that people have different orientations or "styles" which they use in accomplishing objectives. Since these styles vary not only from individual to individual but from situation to situation, an administrator will attempt to increase his or her effectiveness by pursuing the style of behavior perceived as most appropriate for a particular situation. The unique feature of the tri-dimensional model is that it represents an attempt to integrate leadership styles with the situational demands created by specific environmental factors. It is important to note that perceived effectiveness depends upon the appropriateness of leadership behavior in specific situations; i.e., do the results satisfy performance requirements and expectations – product, process, and human?

It also is important to note that since "effectiveness" is depicted on a continuum, countless degrees and combinations of effectiveness are possible.

The overall effectiveness of a leader, however, also should be viewed in the context of the social organization. In considering the usefulness of managerial grids and interactive or tri-dimensional models, it is essential not only to view an administrator within the context of the social organization, but also to consider whether the administrator's use of learned styles of leadership behavior is appropriate for the situations perceived. Thus, leadership behavior should be studied in terms of leadership style as well as the various techniques and alternatives the leader utilizes in different situations. In attempting to achieve organizational goals, certain role behaviors are required. The leader, therefore, can be viewed as attempting to correlate approximate role expectations and behavior. The degree to which this attempt is successful may depend upon such factors as organizational structure, social hierarchy, channels of communication, goals, processes, products, role perceptions, and role relationships. There is no single ideal style of leadership behavior; rather, effective leaders use many different kinds of behavior in different situations.

HYPOTHETICAL EXAMPLE

Administrators in the Platonic School District decided to have their principals and central office staff familiarize themselves with the Blake and Mouton managerial grid, in the hope that they would become better managers. After six months of training, all of the participants were able to identify their personal managerial styles well enough for their judgments to correlate very well with the judgments of their instructors. A year later, however, there was no evidence of any change in student performance or in teacher ratings of satisfaction with their relationships with school leaders.

POSSIBLE ANALYSIS

Merely identifying a leader's managerial style will not lead to change. The training program did not cover the fact that differences in style should be related both to the overall requirements of the job to be done and to the personalities and needs of the workers. Changes in managerial style were not appropriately related to the workers (teachers); thus, there was no noticeable change in either student performance or in worker-manager relationships.

A FEW KEY CONCEPTS
CHAPTER 9: LEADERSHIP MODELS

The selection of motivational strategies is influenced greatly, if not completely, by an individual's views of human behavior. To be successful, leaders must be both task-oriented and people-oriented.

Leadership is a situational matter – the ability to lead is not an inherent trait. Different types of leaders are required for different situations.

In education, change managers can create an environment which supports leadership behavior.

Blake and Mouton's managerial grid illustrates five leadership styles which differ in terms of relative concern for production and concern for people. (The interaction between leaders and workers is not formally considered.)

The Ohio State leadership grid illustrates leadership styles which differ in terms of emphasis on initiating structure and on consideration for people.

A tri-dimensional model was developed by Reddin to show the relationship between leadership style and effectiveness.

It is worthwhile for an administrator to study the relative concern for tasks and concern for people reflected by his or her own leadership style.

The various models discussed here do not deal with the fact that the effectiveness of any management style will depend upon its appropriateness for the workers involved.

Chapter 10

Successful Leadership

LEADERSHIP STRATEGIES AND STYLES

As indicated in Chapter 9, various aspects of leadership have been studied for many years in attempts to discover what makes one leader successful and another poor, how leadership qualities can be detected, and whether leaders are born or develop the necessary qualities over time. If leaders can be developed, questions arise regarding how leaders can become even more effective.

Max Weber, one of the founders of modern sociology, wrote a famous treatise on leadership around the turn of the century. He delineated three kinds of leadership:

(1) *Hereditary leadership* which is usually associated with kings, emperors, and other nobility.

(2) *Bureaucratic leadership (expertise)* which derives from an individual's organizational position which, in turn, is based upon specialized training or knowledge. Unlike hereditary leadership, bureaucratic leadership is inherent not in the person but in the position, e.g., superintendent, principal, professor, city manager, colonel.

(3) *Charismatic leadership* which is inherent in the personality of the individual, exclusive of family background and/or bureaucratic title. In this case, the leader's personality includes some quality that attracts followers.

We hear a great deal these days, especially from Madison Avenue, about a quality referred to as charisma – particularly in reference to politicians. Supposedly, some people have this quality while others do not. The inference is that with charisma a person will be successful, while without it problems can be expected.

Many people – those associated with the media and politics as well as those who lead less public lives – confuse charisma with glamour, good looks, or a winning personality. We all know some people who really have charisma. Of course, it should be noted that one of the most despicable men of all time, Adolph Hitler, was a charismatic leader as was the frail, non-violent Mahatma Gandhi.

The idea that good looks and glamour equal charisma is not what Max Weber meant by the term. As he used the word, it had nothing to do with good looks or personality in the sense of such comments as "Wow, what a great personality!" To Weber charisma meant that a leader had certain personal qualities which people felt reflected their hopes and longings. Such a leader represented the essence of everything in which they believed. They followed the leader, not because of his or her title, not to achieve security rewards, and not even to achieve the kinds of rewards associated with Herzberg's "motivators." Their motivation was based simply on their belief in *the person*. Charismatic leaders are extremely rare and they often appear in a revolutionary context, leading those who oppose the established ways of doing things – they are very different from most, if not all, bureaucratic leaders.

Why can't we just seek out individuals with charismatic qualities, give them the necessary training, and place them in positions of leadership? Better yet, why can't we help our present leaders to develop charismatic qualities? There are a number of reasons why this cannot be done. First, the quality we call charisma is quite rare and is most frequently found in situations of flux and change. Second, the training required to become a specialist generally emphasizes a task orientation rather than an interpersonal orientation. Earning a law degree, a doctor's degree, or administrative credentials requires acceptable task performance; such achievements do not necessarily require leadership ability or specific interpersonal skills.

For our purposes neither charismatic nor hereditary leadership are being considered, although we all know some people whose personalities attract others and other people who act as if they were of royal blood. In our discussion we are interested solely in bureaucratic leadership (expertise); ideally, the people who are defined as leaders in contemporary organizations (especially in public organizations such as the school systems) are appointed and promoted because they have the expertise required for particular positions within the organization.

While the words "bureaucracy" and "bureaucratic" can be used in a derogatory sense, Weber used these words in a scientific context. He referred to contemporary organizations as comprised of bureaus or offices arranged in a hierarchy. Here the term "bureaucrat" is used to identify the individual who occupies a specific bureau or office such as superintendent; hence the word bureaucracy was used to distinguish this type of organization from organizations where people hold leadership positions by family title, a characteristic of monarchies and royal courts. In a bureaucracy, Weber noted, leadership is based upon an individual's performance in a certain prescribed area of expertise that required some kind of specialized training, e.g., accountant, lawyer, school administrator, or city manager. Weber felt that bureaucratic leaders should be selected on the basis of impersonal judgments on

how well an individual performs in his or her specialty in comparison to the way similar specialists perform. For instance, when we are looking for a new school superintendent, we could solicit inquiries from individuals with a background in school administration, comparing them to one another and making our final selection on the basis of the best past performance. We should not emphasize factors such as family background, physical features, social graces, or friendship. In its purest application, the selection of a person for a position of bureaucratic leadership is based on how well that person can do the job because bureaucracies are basically task-oriented.

How can this information be related to the everyday problems faced by the school superintendent and other educational leaders? Very simply, we should recognize that the educator is a bureaucratic leader (in the scientific, positive sense of the term) and that any bureaucratic leader receives a certain minimum level of followership – the level of behavior required if subordinates are to meet the minimum requirements for keeping their jobs. The workers must and will perform at that level, no matter who occupies the position of superintendent, principal, foreman, or "designated leader." The leader's task is to motivate people to extend themselves beyond the minimum behavior required to hold their jobs and be promoted in an automatic way, e.g., as in the civil service.

As bureaucratic leaders, we must recognize that for most of us charisma is not an answer or even a possible approach to accomplishing the everyday job of educational leadership. What we do have, however, is the potential for motivating people to extend themselves beyond meeting the minimum requirements of their jobs and to move in new directions. We can learn how to do this: the ability to motivate others is not an inherited skill or one which only can be developed through unique experiences; it is simply a way of dealing with people so that they are challenged to go beyond their usual everyday ways of doing things. *Leadership* is this ability to motivate people to achieve defined goals. It is both strategy and style, requiring first of all the willingness to give up current behavior and to develop strategies that create new kinds of interactions with subordinates which provide them with opportunities to receive suitable rewards for carrying out the tasks necessary to achieve organizational goals. An essential characteristic of all successful leaders is their awareness of the concerns, "needs," and perceptions of their subordinates. This awareness is the crucial factor that accounts for differences in leaders and explains why people in identical leadership positions within an organization vary in their performance as leaders. We are not referring to sensitivity training but rather to a very old observation best described and analyzed by George Herbert Mead, the founder of the School of Symbolic Interactionism in Social

Psychology (of which Transactional Analysis may be considered an offshoot). In his book, *Mind, Self and Society*, Mead points out that the critical factor in understanding the behavior of others is the ability to take "the role of the other," to put ourselves in their shoes – only then can we understand why people behave as they do and thus develop some insights on how their behavior might be changed (if that is what we desire). Unless we take the roles of others we cannot understand their behavior and, by implication, since we do not know how to motivate them we may use ineffective methods in attempting to change their behavior. Before we can reward a person with a psychic payoff, we have to know what he or she considers a psychic payoff – what seems rewarding to us may very well seem totally inconsequential to someone else.

Ultimately, what we call the exercise of leadership is a person's role performance vis-a-vis other individuals performing their roles, e.g., foreman-workers, principal-teacher, superintendent-administrator, college president-dean. All role performances are related to specific situations. When we say that someone is a good leader, we are really saying that in a given situation the person playing the leader role is able to encourage other individuals (who perform the roles of followers) to carry out the tasks necessary to achieve organizational goals. Thus, we can define leadership as a process in which one individual performs the role of leader and influences one or more other individuals performing the roles of subordinates or followers as they attempt to achieve a specific goal or goals in a given situation. The measure of leadership success depends upon how well or how effectively the individual performing the role of leader can influence those playing the roles of followers or subordinates to make appropriate efforts to reach established goals in a given situation. Thus, leadership involves the assessment by the leader of the leadership role, the roles of subordinates, the nature of the situation, and the goals to be achieved in a given situation. The school administrator in a leadership role must have a clear idea of his or her own role, the roles of subordinates (including their perspectives, "needs," desires, and attitudes), the situation, and the goals the group is trying to achieve.

Quality leadership is especially important in organizations where change is being introduced. Changes cannot be introduced unless the leaders involved know exactly what they want to do, how their leadership performance might be improved, how the role performances of their subordinates could be altered, what hurdles must be overcome in the situation, and how to go about motivating themselves as well as their subordinates to redirect their role performances more effectively. As you can see, in effecting change the primary focus is upon change in the leader – only the

leader can set off or trigger the chain reaction needed if organizational goals are to be achieved.

As indicated in Chapter 9, we believe that leadership is not an inborn trait possessed by only a handful of people. Instead we believe that for the most part leadership is situational. People can become more effective leaders by developing an awareness of all of the elements which can enhance leadership success in specific situations. We also believe that leadership potential is widespread and that many people have the capacity to become effective leaders.

SUCCESSFUL LEADERSHIP AND PERSONALITY

Although many volumes would be required to treat personality and personality theory in any depth, we would like to discuss briefly the importance of the relationship between the respective personalities of workers and their leaders or supervisors.

As the humanist Hubert Bonner often noted, people are what they do. If specific individuals feel that they are warm, generous, giving, and sincere people but others see them as hard, harsh, and acquisitive, their personalities should be described as others see them. Personality, in effect, is how other people perceive a person in given situations. Since an individual's personality is a composite of past experiences and action/reaction patterns, a leader's personality affects his or her management style.

Encounter groups and sensitivity training sessions have been used to show people how they really appear – to let a participant see how others see him or her. This is important, for few of us really see ourselves in the same way others do. Concepts related to expectations follow logically from the idea that both personality and managerial behavior are affected by the way the workers see their supervisor – that is, in a given situation, workers tend to expect their supervisor to act in a certain predictable way. These expectations, in turn, seem to be critical in determining how their "boss" actually does react! Taken together, worker expectations, the way workers react to their supervisor, and the way the supervisor reacts to them, seem to be critical factors in successful leadership.

If workers do not accept their supervisor or his personality, his prospects for future success as a supervisor are poor. Thus, if you are going to be supervising a group of people, give some attention to their personalities and expectations – they may determine your success or failure as a manager as well as the success of the project being undertaken.

DECISION-MAKING

Successful leadership requires accurate determinations among possible alternative ways of accomplishing goals and objectives. Such determinations involve both choice and decision. Verifying the availability of alternatives, assigning priorities, and making choices all require information related to defined areas where discrepancies exist between current results and desired results.

Lasswell (1967) describes the decision process in terms of three kinds of events – prearena, arena, and postarena. Prearena events precede the involvement of the decision makers; arena events involve the interactions among the decision makers; and postarena events include all of the interactions influenced by the decision.

Lasswell also views the decision-making process as involving seven functions. The first function is information gathering, making predictions based on the information gathered, and planning on the basis of the processing or digesting of that information. Lasswell calls this the intelligence function. The second function, recommending, involves handling pressures for change. It also involves the promotional activities of pressure groups or organizations trying to alter the course of their own or other organizations. The third function involves writing prescriptions and begins with the establishment of rules on a somewhat tenative basis, as well as the design of new policies or programs. The fourth function is called the invoking function. Its main purpose is to "try out" suggestions or plans "promoted" by some significant other (e.g., pressure group, superintendent). The fifth function is that of application – i.e., the allocation of resources (money, personnel, space, etc.) to implement the activities specified. The sixth function, appraisal, involves making sure that the prescriptions are being carried out cooperatively, efficiently, and economically. The final, or seventh, function involves making a decision to terminate the activities initiated. This includes amending policies, suspending programs, or phasing out project activities.

It is important for educational leaders to keep in mind the fact that decision-making requires distinguishing between and among decisions, conclusions, and judgments. Decisions are choices which determine either taking action or selecting a policy to deal with a problem situation. A conclusion, on the other hand, relates directly to the baseline facts pertinent to a situation, while a judgment is directly related to an individual's values and value system rather than to specific facts or actions (Fulcher, 1965).

There are four general types of decisions: (1) impulsive decisions based on emotional reactions to situations rather than on reflection, (2) routine decisions related to familiar situations to which we react essentially through habit, (3)

casuistic decisions based upon our accepted ethical, moral, or religious principles, and (4) thoughtful decisions made only after such pertinent factors as the nature of the problem, alternative courses of action available, and the probable consequences of each course of action have been considered.

Drucker (1964) suggests that, in making quality decisions, a decision maker uses dissenting views in order to determine which way to move. According to Drucker, the process of making quality decisions involves five basic steps. The first step is to define the problem. More often than not in an educational setting, the countless factors to be considered operate to obscure the key elements of a given problem and how they are actually related. Generally, the more obvious (i.e., visible) components of a problem are just symptoms of the real problem, and identifying the real problem requires a great deal of effort – to determine the critical factor or element which must be changed before the situation can be improved. (The system approach model of Kaufman – 1968, 1970, 1972 – focuses upon the important task of separating problem identification from problem resolution.)

The second step is to analyze the problem. In the third step, the educational leader develops alternative solutions to the problem defined. The fourth step involves identifying and selecting the solution the decision makers consider most appropriate for the people involved in the educational process (students, educators, members of the community) and for the environmental context of the problem. The fifth step involves making sure that the action selected will be taken effectively. For the action to be effective, the decision makers should give careful attention to developing understanding of the action by the people who will carry it out. Effective communication is essential during this phase of the decision-making process so that the whole educational team is informed not only on how the decision was made but also on how the action planned can be carried out most effectively. It should be noted that the decision-making process outlined here is related to Kaufman's system approach process although he would add steps on evaluation and revision to those outlined above (Kaufman, 1972).

According to Gore (1964), the decision-making process includes several phases, with the first related to perception. The second phase involves evaluating the internal purposes of the organization as well as any external threat to the organization. The third phase involves the actual selection of one of the alternative courses of action available and (again) estimating the consequences for the organization if this alternative is followed. A fourth phase involves maneuvering for position or action based on the consensus choice of a course of action. Power, which is described as the channel through which ideology is promoted, is an element in this phase which often involves persuasion or negotiation as well as concessions.

Leadership performance can be improved if good procedures for gathering information and processing facts internally are developed so that the decisions made are consistent with the value systems of the people involved. As leaders improve their decision-making abilities, their decisions will be more consistent and more valid – especially if those decisions reflect shared values. Perhaps, as Drucker points out (1964), effective leadership really is a transfer of ownership – that is, encouraging others to feel that they are contributing to the decision-making process and that their ideas will have an impact on organizational growth.

SELECTING SUBORDINATES

Educators spend a great deal of time selecting key subordinates – as much care is taken in selecting an assistant superintendent as in selecting a superintendent. Screening boards and experts proliferate to assist school personnel in their attempts to identify the best men or women to fill jobs in the second or third levels of educational management.

Yet, the prime criteria followed in performing this important task are seldom logical. We go to great lengths to list innumerable job requirements which may or may not have anything to do with success in a given position. Many state departments of education require an applicant to have five or more years of teaching experience before becoming a school administrator – on the assumption that in order to supervise teachers and teaching, a person must be a former teacher.

Confusion also arises in selecting appropriate personnel when assumptions are made about processes without relating those processes to products or results. One area where this is obvious involves the assumptions related to various academic degrees. Generally, we assume that a doctorate is better than a master of arts degree which is better than a bachelor of arts degree. There are no empirical data to support this assumption – yet the specifications prepared for key positions list many variables (such as degrees, credentials, years of experience, and process variables) which might not have any relationship to job success.

Goal-sharing seems to be a critical factor in selecting effective subordinates. It is a good idea to consider whether an applicant's goals are the same as your goals. In selecting a subordinate you should try to identify that person's long-term and short-term goals and compare them with your own. If your goal is to continue as superintendent for a long time, hopefully to retirement, and the applicant hopes to become a superintendent within three years, you should measure the extent to which that ambition might create problems for you in day-to-day operations and the extent to which the subordinate will spend his or her time trying to build a

professional reputation to support a promotion to your job or to another top position rather than working on district problems. Although it is certainly true that working as an effective subordinate and working for advancement are not mutually exclusive activities, some supervisors would find this type of situation threatening. If you don't want to take part in this type of competition, don't hire an extremely ambitious person. (You should also consider the risks in hiring a "safe" person; a person with no wish to advance might be inadequate for the position or might be satisfied to just keep things under control rather than become an active partner in the change process.)

In considering the managerial grid, we have seen how the styles of various leaders can be assessed (in terms of four two-dimensional quadrants) to determine how they tend to operate. While many leaders prefer subordinates whose managerial style is the same as theirs, this could be a drawback. Suppose that the leader emphasizes high-relationships but many of the workers would prefer a high-task emphasis. If another high-relationship manager is hired, those workers would still lack the type of supervision they desire. (Yes, in spite of all of the theories on self-actualization and humanistic management, there are still many people who prefer high-task, low-relationship supervision – everyone is not the same and some people have no desire to participate in planning activities related to their jobs.) It might be a good idea for you to plot *your* leadership style and preferences on a managerial grid. Then plot your subordinates' expectations related to supervision on the grid, perhaps in a different color. Note the degree of overlap and any discrepancies between your style and the kind of supervision desired by your subordinates. Considering the supervision style preferred by your subordinates may give you some clues on the managerial style you should try to find when hiring a subordinate.

In Chapter 3, we discussed the differences and interrelationships between means and ends – process and product. In selecting subordinates, we are trying to select an important process element. This process element, however, provides a key for obtaining results – required products or outcomes. The achievement of results should be paramount in your selection criteria and process. When selecting a subordinate, list the results the person will be responsible for achieving as well as the resources available. The outcomes or results should be stated in measurable performance terms. The list of outcomes can then be related directly to the tasks the person is expected to perform.

If you decide to develop such a list, it should be prepared before a search for new personnel is begun. Such a performance checklist will provide not only a job description but also information on the results expected, resources to be managed,

and personality and leadership requirements for the position to be filled. The preparation of such specifications may make the selection of key subordinates an easier task and improve the likelihood that you will select effective subordinates.

Remember, each of your subordinates will be a factor in your personal success or failure, just as you will be responsible for their successes and failures. Make sure that you and your subordinates understand the results to be obtained, the values and goals you share, and the leadership style required to help you make successful change a reality.

A FEW KEY CONCEPTS
CHAPTER 10: SUCCESSFUL LEADERSHIP

Weber delineated three types of leadership: hereditary leadership, bureaucratic leadership (expertise), and charismatic leadership. The people in educational organizations who are defined as leaders are appointed and promoted because they have the expertise required for particular positions.

Leadership can be defined as the ability to motivate people to improve their performance – by providing them with opportunities to receive suitable rewards for achieving organizational goals.

In order to function successfully, leaders must be aware of the concerns, "needs," expectations, and perceptions of their subordinates and have a clear idea of their own roles, the situation, and the goals they are trying to achieve.

Quality leadership is especially important when change is being introduced.

Successful leadership involves effective decision-making. As Drucker points out, effective leadership really involves a transfer of ownership – encouraging others to feel that they are contributing to the decision-making process and that their ideas may have an impact on organizational growth.

Worker expectations, the way workers react to their supervisor, and the way the supervisor reacts to them, seem to be critical factors in successful leadership.

An individual's personality should not be described as *he* or *she* thinks it is, but as *other* people perceive it. Personality will be a factor in success.

The selection of subordinates is an important task. Effective teamwork involves shared values, expectations, and goals as well as complementary personalities and managerial styles.

Chapter 11

Identifying Leadership Styles

INTRODUCTION

The roles people play are based upon a variety of factors. Among these factors are the environment; the situational context; the organizationl structure; the background, training/education, experience and values of the individual; and the human dynamics operating at a given time. In Chapters 7 and 9, various types of leadership behavior and some of the dimensions of that behavior were discussed.

Central to the styles of leadership discussed are the basic ideas covered by McGregor's Theory X - Theory Y concept, Argyris' concept of maturity-immaturity, Likert's "systems" of management, and the managerial grid.

The following hypothetical example is designed to provide an illustration which describes two basic leadership styles in action. Included is a sample exercise you can use to identify the type of management/leadership behavior being used by the leaders of two fictitious school districts.

A hypothetical example is presented here in the form of a case study. Two neighboring school districts are described in terms of their particular environment, organizational structure, situational context, utilization of human resources, and the consideration/involvement of the leaders of the educational team.

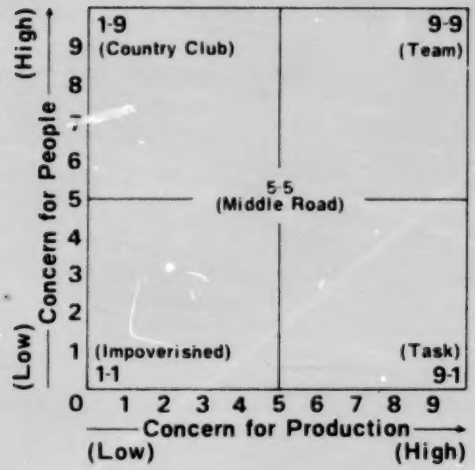
HYPOTHETICAL EXAMPLE

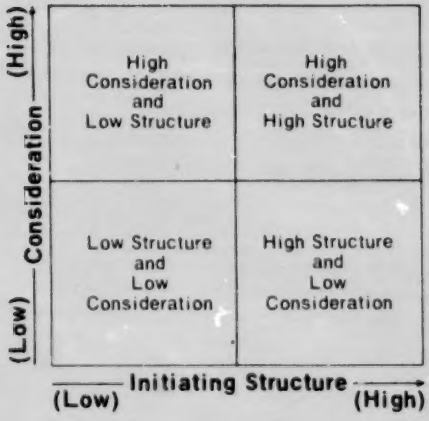
Superintendent Stanwick is the educational leader of the Dixon Unified School District. The people living in this district are primarily of lower socio-economic status although there are a few middle-class families. Few of the students expect to continue their education, either at the junior college or state college level. Attrition begins in the ninth grade and, over the past seven years, early school dropouts have become the rule rather than the exception.

The community is mostly made up of small, single-family dwellings. Home ownership is high and most families have lived in the area for a number of years, so the community is relatively stable. Recently, to the alarm of the older residents, a number of minority families have moved into the district. This alarm is not shared by Superintendent Stanwick or his subordinates. Their attitude is that it is the "outsider's" responsibility to conform to the existing situation. Over the years, this attitude has resulted in the development of an elite body of administrators and teachers oriented to maintaining security by avoiding change. On the other hand, a few members of the school board maintain that educational opportunities should be equally available to all students. Most of the students, dropouts and graduates, remain in the community working in blue-collar jobs; the few who gravitated to nearby Metropolis to "make their mark" have not been heard from since they left.

In a neighboring community, educational leadership is provided to the Evergreen Unified School District by Superintendent Chester. This district, like the Dixon Unified School District, is primarily made up of single-family dwellings, but members of minority groups make up a greater proportion of the total population. While many students take full-time jobs when they leave the Evergreen school at the legal age of 16, many continue to attend adult education classes on a regular basis. Also, high school students in the vocational education program are permitted to continue in the regular program while receiving on-the-job training on a released time basis. Superintendent Chester, her administrative staff, and the teachers frequently participate in curriculum planning sessions as well as regional and state conferences on educational leadership and innovation. Both the teachers and the principals also attend various university workshops, and many workshops are held in the district so that interested volunteer aides and parents can also participate. These activities seem unusual to educators in the Dixon Unified School District; they regard their fellow educators in the Evergreen district as reasonably normal, even though they are "eager beavers." To their further surprise, the Evergreen school board (which strangely includes two members of minority groups) actually seems to be encouraging these unusual activities.

The foregoing section provides information on the environment, situational context, and leadership attitudes within the two districts. *On the following managerial grids (the first grid is based on the work of Blake and Mouton while the second is based upon the studies at Ohio State University), fill in a "D" (for Dixon) and an "E" (for Evergreen) in the quadrants which you feel best describe leadership attitude and behavior in the two school districts.*





Paul Hersey and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*, 2nd ed., 1972, pages 74 and 75. Reprinted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

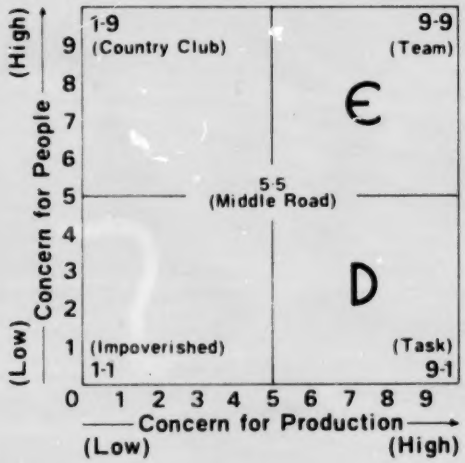
LEADERSHIP STYLES IN THE TWO DISTRICTS

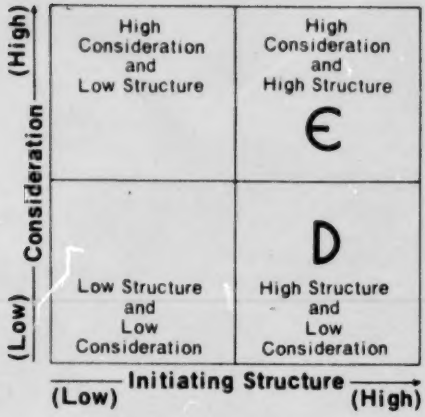
Remember, each district was described in such a way that a "picture" of each district was provided. Both districts are located in essentially similar communities – economically, socially, and ethnically. Both districts are *performance-oriented* – they are attempting to get the most mileage from the resources currently available. This attempt to get the most "bang from a buck" is viewed by Blake and Mouton as "Concern for Production" and receives a high numerical rating on that dimension of the grid. On the Ohio State grid, the term "Initiating Structure" is used to indicate the degree of *structure*, with the degree of *consideration* for people indicated on the second dimension of the grid.

The "Concern for People" dimension of the Blake and Mouton grid is illustrated in terms of intervals which are assigned numerical values. The greater the concern, the higher the rating. The related dimension on the Ohio State grid, which has no numerical values, is labeled "Consideration."

On the Blake and Mouton grid, Dixon is a district with *high concern for production* and *low concern for people*; on the Ohio State grid it is a district with *high structure* and *low consideration*.

Evergreen district has "team"-oriented leadership which is indicated on the Blake and Mouton grid as *high concern for production* and *high concern for people*. In terms of the Ohio State grid, it is a district with *high structure, high consideration* leadership.





It is important to note that not only do these leadership styles vary, but their effectiveness varies. To better understand the effectiveness of these two leadership styles, let us consider the following exchange between two principals from these two school districts.

One day, Principal Johnson of the Evergreen Unified School District ran into Principal Swann of the Dixon Unified School District in a small restaurant in Metropolis. Since they knew each other by sight from attending various meetings for principals, they fell into conversation and shortly began to "talk shop." Principal Swann started the exchange reported here with the following questions: "How come you and your staff are always tempting fate? Don't you know that one of these days you're really going to get into trouble?"

"What do you mean?" asked Principal Johnson. "What are we doing to tempt fate?"

"Oh, you know what I mean," Principal Swann replied. "Look, I've been living here for over twenty years and I can tell you that Superintendent Chester isn't going to last. People around here are simple, down-to-earth folks – they don't like change.

All they want is reading, writing, and arithmetic. Adult education, vocational training, and planning for the future are just a waste of time and money. How do you expect to keep order in your schools and control the kids when they are all over the place? And on-the-job training! It's crazy. The kids are coming and going all the time, not to mention their parents.

"You're really going to have problems now that all those parents are involved in school activities – in meetings, as volunteer aides, and in making decisions. The next thing you know, they'll be telling you how to run the schools.

"Do you know how a school district should be run? First, you've got to have organization. Without it you're dead! You must have strong leadership at the top and in all the key positions. You'll never get a good staff if your people are running back and forth to meetings all the time. Besides, if you hire qualified staff in the first place and tell them exactly what to do, all those meetings aren't necessary.

"The same thing goes for the kids! You've got to let them know who's in charge and exactly what's expected of them. If you don't have control they'll run right over you.

"But your worst problem is going to be the parents. They may mean well but they just don't have the educational background to know what they're doing. They'll not only waste your time, but they'll confuse themselves, the kids, and the teachers – while they give the principals even more grey hair."

Principal Johnson responded: "What you say might be true in *your* district, but let me tell you what we have been doing in the Evergreen district. I know that it seems as though we are always attending meetings, and training sessions, and seminars, and workshops. But it seems that the more we look around, the more we feel we want to know what's going on. Besides, how can we really plan an effective education for these kids if we don't know what alternatives are available?

"The same thing goes for the parents. We want them to be as well informed as possible so that they can help us figure out what's best for their kids, for themselves, and for us. After all, we all have a stake in the schools.

"As for the kids – we really haven't had any serious problems with them. They like school. It makes them feel important to know that their parents and teachers are really interested in what they're doing and are always willing to listen to what they have to say. When problems do arise, we find that having a good working relationship between the home and the school helps us to settle them quickly.

"It may seem that we are trying new ideas all the time but, if you look closely, you will find that each of these ideas was carefully developed in response to an identified student need. And all of those meetings you mentioned help us to make sure that everybody knows not only what is happening but also why it is happening.

Then, too, the meetings give everyone a chance to make suggestions. This way, we can determine whether or not we have everyone's support *before* we go out and waste a lot of time, energy, and money.

"Our superintendent may appear over-eager to an outsider, but she certainly seems to know what she is doing. For example, she took one look at existing school policies and procedures, called in the principals, some teachers, and other staff people and asked us how *we* thought the school should be run. That was scarey – because we were really on the spot! But, you know, with a little encouragement and a lot of work we came up with a plan which everybody understands and likes.

"The next thing Superintendent Chester did was to get everybody involved. We set up a Research and Development section; their first job was to develop horizontal and vertical communication systems so that we not only know what's happening but we all get a chance to participate. Then Superintendent Chester set up an 'incentives' program to stimulate ideas for constructive change. When we all started thinking about it, we could see lots of room for improvement – things that we just hadn't noticed before. Since the various schools identified somewhat different needs, we decided to tackle them individually in a decentralized way. We still get together, of course, to exchange ideas.

"You might expect all of these changes to really upset school operations; anyway, we did – at first. Now we wouldn't want it any other way and the kids and their parents wouldn't settle for anything else! In fact, the turnover rate for our teachers is practically zero and none of the parents want to move – even the ones who could afford it.

"Don't take my word for it though; come over and see for yourself. In fact, one of your board members came over last week to see how we were doing. Well, I've got to leave – we're having a meeting on planned innovations!"

The comments of the two principals quoted above reflect the leadership behavior in their respective school districts as well as differing leadership attitudes on staff background, training/education, experience, and (to some extent) prevailing "psychology." All of these factors are involved in the human dynamics of the two districts.

POSSIBLE ANALYSIS

These two school districts obviously have dealt with the challenge of change in different ways. Dixon Unified does not acknowledge that change is required, while Evergreen Unified has developed strategies to meet emerging challenges. Let us consider some of these strategies.

Evergreen Unified is people-oriented and demonstrates concern for people. This operating philosophy encourages human initiative and facilitates the open exchange of ideas.

The organizational structure of the school district has been kept flexible by the development of communication systems that are action-oriented rather than reaction-oriented. This approach has provided frequent opportunities to try out new ideas or innovative solutions planned to solve previously defined problems.

The decision-making process is not restricted; rather, this process is shared across all levels of school district operations – classrooms, individual schools, central offices, board meetings, and homes. The parents feel comfortable in their interactions with district personnel at all levels. They also feel that the school board is expressing their wishes, rather than those of the superintendent alone.

The teachers like this system because they feel that recognition and their advancement will depend upon the performance of their students instead of the whims of an all-powerful administrative officer. The atmosphere within the district is supportive so that individuals are able to achieve and maintain a sense of personal worth and importance.

In this district, concern for production has been coupled with concern for people. This approach has created an organizational environment where individual behavior supports planned change.

IDENTIFYING LEADERSHIP STYLES

Various theorists have described types of leadership behavior which parallel the leadership behavior in the Dixon and Evergreen school districts. Review the theories of McGregor, Argyris, and Likert on pages 79 to 81 and on page 83. Then, following the directions below, fill out the chart on the next page.

Place check marks in the appropriate columns to match each behavior listed on the left with the theoretical positions noted across the top of the chart. The answers to the first two items have been filled in.

TYPES OF LEADERSHIP

Behavior	McGregor		Argyris		Likert	
	Theory X	Theory Y	Immaturity	Maturity	System 1 (2-3) (Safety)	System 4 (Self-Actualization)
Elite body of administrators/teachers/board members who determine policy	✓		✓		✓	
Openness to change – change activity		✓		✓		✓
Uniform curricular structure						
Inflexible administrative structure						
Opportunities for feedback – from teachers, parents, and students						
Horizontal and vertical communication						
Responsibility without authority						
Innovative thinking at all levels						
Characterized by external forms of control						
Rigid rules						
Characterized by representative needs assessment						
Emphasis on seniority						
Emphasis on ability						
Characterized by decentralization						
Characterized by few interests – anxiety-oriented						
Consideration of individual needs						
Joint planning						
Security-oriented staff						
Joint decision-making						
Characterized by adaptability and confidence						

Now let's see how successful you were in relating the behaviors listed on the chart to the definitions of various theorists. The chart on page 129 is the same as the one you just completed. It relates each of the leadership behaviors listed to the various theoretical positions indicated across the top of the chart. *Compare your answers with ours.*

The assignments in terms of McGregor's and Argyris' theories are identical. By omitting Likert's Systems 2 and 3, the assignments in terms of Systems 1 and 4 parallel those related to the McGregor and Argyris theories. Why is this the case? It is due to the fact that even though each expert defines leadership behavior from a different perspective, they share a common base. Authoritarian leadership may parallel a style in which immaturity prevails as well as one in which concern for physiological/safety factors is emphasized. Conversely, a mature organization may be one in which the leadership style is democratic and an environment conducive to self-actualization by group members is created.

TYPES OF LEADERSHIP

Behavior	McGregor		Argyris		Likert		
	Theory X	Theory Y	Immaturity	Maturity	System 1 (Safety)	(2-3)	System 4 (Self-Actualization)
Elite body of administrators/teachers/board members who determine policy	✓		✓		✓		
Openness to change – change activity,		✓		✓			✓
Uniform curricular structure	✓		✓		✓		
Inflexible administrative structure	✓		✓		✓		
Opportunities for feedback – from teachers, parents, and students		✓		✓			✓
Horizontal and vertical communication		✓		✓			✓
Responsibility without authority	✓		✓		✓		
Innovative thinking at all-levels		✓		✓			✓
Characterized by external forms of control	✓		✓		✓		
Rigid rules	✓		✓		✓		
Characterized by representative needs assessment		✓		✓			✓
Emphasis on seniority	✓		✓		✓		
Emphasis on ability		✓		✓			✓
Characterized by decentralization		✓		✓			✓
Characterized by few interests – anxiety-oriented	✓		✓		✓		
Consideration of individual needs		✓		✓			✓
Joint planning		✓		✓			✓
Security-oriented staff	✓		✓		✓		
Joint decision-making		✓		✓			✓
Characterized by adaptability and confidence		✓		✓			✓

Section III

Chapter 12

Managing for Organizational Success

LIFE CYCLE THEORY

By synthesizing various management theories and concepts, Hersey and Blanchard (1972) have attempted to provide a tool which managers can use to analyze their behavior towards their subordinates. They have used the works of various humanistic management theorists as the basis for their Life Cycle model which managers in any organization might find useful.

Basically, the Hersey-Blanchard model joins Argyris' (1964) ideas on maturity and immaturity with some of the concepts upon which the Blake and Mouton managerial grid (1964) is based. The model can be used to define the maturity of a manager in terms of motivation for achievement as well as the willingness and ability to accept responsibility.

The Hersey-Blanchard Life Cycle model (1972) is illustrated in Figure 12.1. By following the curve of the managerial grid from right to left, it is possible to plot the type of leadership behavior which would be appropriate for (1) starting relationships and management style where, in the early stages of a job situation, high task behavior and low relationship behavior are likely and (2) possible changes in effective management style as the relationships and/or the subordinates mature.

This model may be particularly useful for educational managers, as it provides an opportunity to examine the interactions between a manager and subordinates at different stages of maturity. Some groups or individuals tend to be more mature than others, and the model shows a possible way to find the relative task/relationship behavior necessary for successful management and change.

Assume that you are working with a group of teachers whose behavior is relatively immature – in this instance, immaturity is used in the sense of psychological immaturity. They are unable to operate without lesson plans and guides, detailed assignments, and specific working hours, and they are reluctant to undertake new activities in the areas of media and curriculum innovation. They view change as threatening and would prefer to continue operating in familiar, established ways. These teachers could be considered relatively immature, and their supervisor

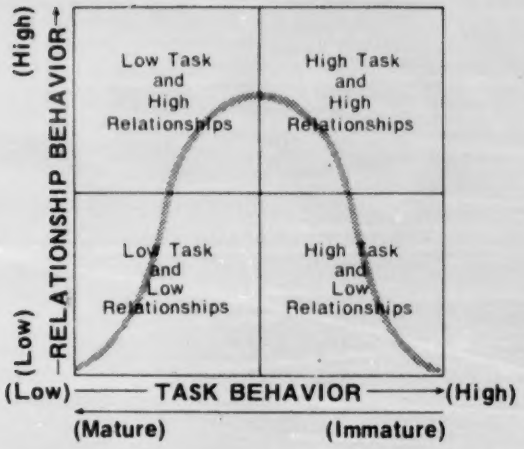


Figure 12.1 The Hersey-Blanchard Life Cycle Theory of Leadership*

might be required to use the management style indicated at the lower right-hand corner of Figure 12.1. *At first*, these teachers probably would react most positively to a management style which combined high task behavior with minimal emphasis on relationships (since high task behavior would reinforce their current attitude and immature behavior).

As mutual trust grows and various relationships develop, the manager could shift his or her management style slightly to increase the emphasis on relationships and reduce the task orientation. This would encourage a shift toward maturity in manager-worker relationships. For example, instead of immediately insisting upon completely independent work in setting objectives and doing a formal needs assessment, the first assignment could be the assessment of current outcomes using well known, familiar norm-referenced evaluation instruments, a very detailed and clearly defined task. After this initial highly structured task has been completed, the manager could meet with the workers (teachers) to discuss the assignment. Such

*Paul Hersey and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*, 2nd ed., 1972, page 135. Reprinted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

discussions may provide some satisfaction of the teachers' esteem "needs" – by congratulating them for a job well done and the initiative exhibited in completing the assignment. The manager could, in view of their achievement, ask the teachers to prepare some new objectives for the evaluation program and to take more responsibility for deciding what classroom equipment they want for the next school year.

By giving the teachers more freedom and more opportunities to have their "needs" for esteem satisfied, the manager could encourage the development of more mature relationships and the acceptance of increased responsibility so that the teachers could become relatively self-actualizing and self-directing. In Life Cycle Theory, it is assumed that most people are not self-actualizers and that expecting them to shift immediately to self-actualizing behavior could be disastrous; when people are expected to behave in an unfamiliar way, they may react negatively. The key to increased productivity may be provided by careful, slow but steady change from the old system to new organizational relationships based upon an awareness of the parts different people play.

THE IMPORTANCE OF PACING

By realizing that everyone, including the manager, works as an adult operating in an area of satisfaction somewhere between the need to be self-actualizing and the need to satisfy physiological demands, we can slowly but surely make the manager-worker environment more realistic and productive. We would predict disaster if a manager attempted to immediately convert an organization which could probably be described in terms of "hygiene factors" and Theory X into a more mature organization based upon Theory Y concepts. Some workers and some supervisors are not ready for this. Often the public is not ready. Since none of the members of the educational team are ready for such a change, the manager's attempt would undoubtedly fail. The importance of pacing, therefore, is stressed in the Hersey-Blanchard Life Cycle Theory. An approach designed to move both managers and employees from a system based on "hygiene factors" to one based on "motivators" must be related to the readiness of the people involved to accept the changes required.

We suggest that you identify your own behavior and that of your employees on the managerial grid (see page 101 of Chapter 9) and then relate your current managerial style to the Life Cycle Theory curve in Figure 12.1. If there is a discrepancy, try to determine whether your analysis was inaccurate or if your managerial style and approach should be revised. Next, determine how key

individuals and groups could be encouraged to move from their current positions to more mature positions on the Life Cycle Theory curve. Note, as Hersey and Blanchard point out, that maturity in the supervisor-worker relationship is self-sustaining and approximates Maslow's ideas on self-actualization (1970). In changing manager-subordinate relationships pacing is critical for success – don't try to adopt a more humanistic management style too quickly. Take your time, but don't maintain the old management style too long; improved morale and productivity may result as the organizational environment and interpersonal relationships become more person-oriented and ultimately provide opportunities for self-actualizing experiences.

A SUGGESTED SYNTHESIS

We have noted that in Life Cycle Theory, Hersey and Blanchard have attempted to integrate much of the available information on management theory into a single, sensible model.

Hersey and Blanchard note that the Blake and Mouton managerial grid is divided into four quadrants where supervisory behavior is identified in terms of the relative emphasis on concern for people and concern for production. They note that the behavior of workers reflects varying degrees of psychological maturity and immaturity. (We would add that this is also true of managerial behavior.) The curve added to the managerial grid illustrates the Hersey-Blanchard Life Cycle Theory (1972). At the beginning of an immature relationship, the curve starts with high task/low relationship behaviors. As maturity increases, the relationship behavior increases as the task behavior decreases. Finally, with a mature worker, both relationship and task behaviors are reduced.*

They note that their theory is in agreement with most, if not all, theories of humanistic management. If we plotted the levels of Maslow's hierarchy on the Life Cycle curve, we would note, for instance, that (1) an environment characterized by high task behavior on the part of the supervisor can be related to an environment which meets only the physiological "needs" of the workers and that (2) an environment characterized by low task/relationship behavior can be related to an environment which meets the workers' self-actualization "needs." Similarly, Argyris' concept of an immaturity-maturity continuum can be related to the Life Cycle

*Current additional development of the Life Cycle Theory is progressing and will be reported shortly (Hersey, 1975).

curve, as can Herzberg's ideas on "hygiene factors" and "motivators" – with "hygiene factors" associated with the right-hand two-thirds of the curve and "motivators" associated with the left-hand third of the curve.

TRANSACTIONAL LIFE CYCLE THEORY – A SUGGESTED INTEGRATION*

We would like to integrate some elements of Berne's concept of Transactional Analysis (TA) with the Life Cycle Theory, by relating the ego states of Parent, Adult, and Child to the Life Cycle curve as illustrated in Figure 12.2:

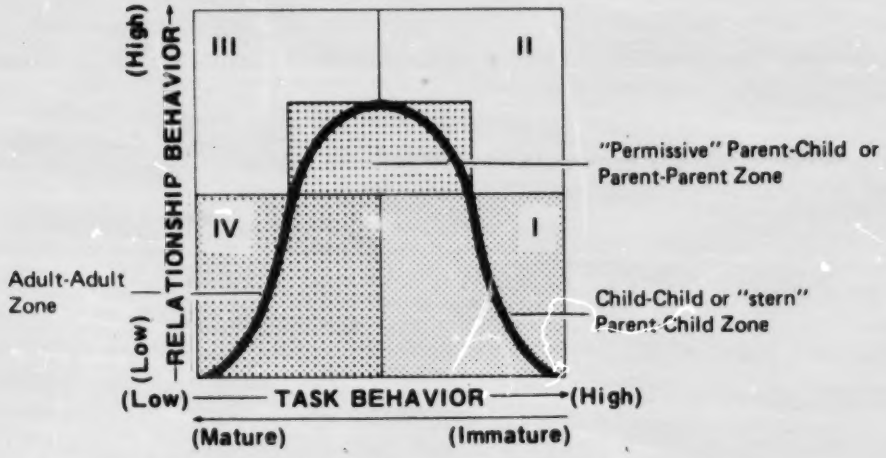


Figure 12.2 Transactional Life Cycle Theory Chart
A possible integration of the ego state aspects of Transactional Analysis and Life Cycle Theory.
(Based on Kaufman, 1973.)

*Research on this and most other management models is either equivocal or non-existent. This theory may be useful, however, as a conceptual tool.

Figure 12.2 illustrates the Hersey-Blanchard Life Cycle Theory with some of the dimensions of Transactional Analysis superimposed upon it. We will refer to this synthesis as Transactional Life Cycle Theory (TLCT, Kaufman, 1973). In immature behavior and organizations, a Child (the supervisor) is interacting with another Child – Child-Child interactions and relationships – or a "stern" Parent interacts with a Child – Parent-Child interactions and relationships. When both supervisors and workers exhibit immature behavior, their relationship is likely to emphasize high task behavior and basic "hygiene factors." Under such conditions, relatively poor morale and poor productivity can be expected.

In organizations where the behavior of supervisors and workers is somewhere between maturity and immaturity (in Argyris' terms), we may find a rather benevolent Adult caring for a Child in a somewhat patronizing manner but offering some social encouragement and Parent-Child reinforcement of the kind we sometimes use with our own children. Organizations of this type may be considered somewhat paternalistic and probably will develop higher morale than will immature organizations; they will never become fully-functioning, independent, and self-renewing, however; the Adult will always have to mandate any changes, while the Child will tend to make small concessions to earn the approval of the Parent.

In organizations where mature behavior is exhibited by both supervisors and workers, Adult-Adult relationship patterns can be established. Since each position and function is defined and accepted, interpersonal jealousy is minimal. Also, change is relatively simple and can be quickly accomplished since it is not considered threatening. People are treated as individuals with shared values and goals who are working together to achieve those goals. Progress toward self-actualization will become the norm for everyone involved – managers and workers.

It should be emphasized that the ego states described in Transactional Analysis are in fact archaic, self-perceived versions of reality. If we were to study Parent behavior and/or Child behavior *per se*, we would find, in most cases, great discrepancies between the ego positions described in TA and actual behavior patterns. The importance of the TA concepts, we feel, is that many people find these ego positions useful in understanding and dealing with their own behavior and the behavior of others.

The transaction categories used here were selected because of their popularity and the growing common understanding of TA concepts. These categories are used only as a convenient short-hand for different kinds of interpersonal transactions.

The behaviors associated with various possible supervisor-worker relationships may be determined by plotting a given relationship within one of the four quadrants of the Transactional Life Cycle Theory chart (Figure 12.3). Note that the TLCT

model is applied to various transactions among the people in organizations, not to leader behavior alone.

In this figure, Quadrant I transactions (social exchanges) can be identified as Child-Child or "stern" Parent-Child; transactions related to Quadrants II and III can be identified as Parent-Parent or "permissive" Parent-Child; and Quadrant IV transactions can be identified as Adult-Adult

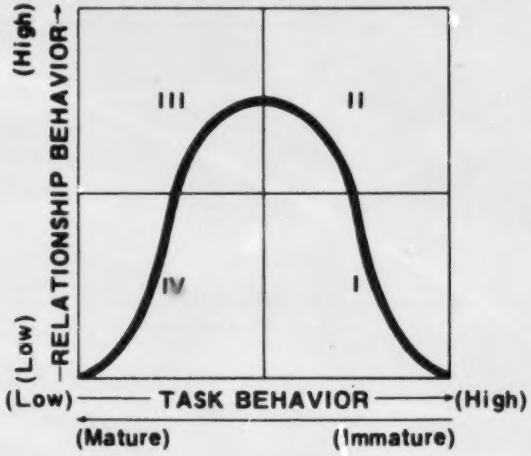


Figure 12.3 Four Quadrants of the Transactional Life Cycle Theory Chart

Discrepancies in manager and/or worker behavior within and/or between quadrants could be plotted and discussed in considering changes in role behavior designed to improve transactions. By moving, for instance, from Quadrant I transactions toward Quadrant IV transactions, improved productivity and organizational effectiveness and efficiency may become more likely.

TRANSACTIONAL LIFE CYCLE THEORY – LEADERS AND SUBORDINATES

Life Cycle Theory represents a departure from earlier management theories. The managerial grid and other popular approaches to assessing styles of management tend to focus on the behavior of the manager and to either assume static behavior on

the part of the workers or simply to ignore the workers' behavior. The managerial grid, however, is used by many large companies in the United States for management training. This emphasis on managerial behavior may tend to support the assumption that the behavior and values of the workers are irrelevant. We have learned from sociologists and anthropologists that the interactions or transactions among people form the relationship process and our ability to understand and predict behavior and change will depend greatly upon our understanding of the relationships among the people in an organization. Thus, the "life" curve added as a modification to the managerial grid by Hersey and Blanchard is a major conceptual development in management theory – it involves a shift in focus from the manager to the transactions between the manager and the workers.

By incorporating the ego positions from Berne's Transactional Analysis concept into the Life Cycle Theory (Kaufman, 1973), we are introducing another variation and shifting to an even greater emphasis upon human transactions. This modification departs from the classical perceptions associated with the managerial grid, Life Cycle Theory, and Transactional Analysis; it represents an attempt to develop a useful tool which a manager can use in "managing the job" in such a way that both organizational and personal growth result. In order to use this new tool effectively, the manager should review and analyze interpersonal relationships and realize that all members of the educational team should be involved in decisions related to change.

Transactional Life Cycle Theory (TLCT) can be used by a manager to assess supervisor-worker relationships and determine what changes in those relationships would facilitate both organizational and personal growth and productivity. In the terminology of system management (Kaufman, 1972), this approach permits a manager to determine how great a gap exists between current outcomes (or payoffs – to use Greenwald's term) and desired outcomes. If all of the people involved decide to change – to close the gap – as they become aware of different behavioral possibilities, both change and improvement will become more attainable. In *Decision Therapy* (1973), Greenwald observes that the most important elements in change are the decision to change and the initiation of new behavior. This concept may provide a new approach which can be used in management science to develop a better understanding of the worker-supervisor relationship.

APPLYING MANAGEMENT THEORY TO LEARNING AND STUDENTS

We have noted that changes in interpersonal relationships are often necessary if change is to be managed successfully. We have also noted that supervisors and

workers may be at different stages of maturity. These factors must be considered if you want to change the work environment from one described in terms of "hygiene factors" to one based upon "motivators" and to create an educational system which promotes self-actualizing behavior.

In education, however, we often forget that the whole educational process really exists for the students and learning – they are the reason we are in business! Life Cycle Theory modified by the addition of some elements of the concept of Transactional Analysis (TA) is not a management theory alone – it can also be applied to educator-student transactions.

EDUCATOR/STUDENT RELATIONSHIPS

In early learning, we frequently experience "stern" Parent-Child relationships and Child-Child relationships (refer to the lower right-hand corner – Quadrant I – of Figure 12.2). Learning does occur, but it is usually highly structured and highly task-oriented; to be successful we must move rapidly to increase the relationship behavior in the learning/teaching situation. If we do not, we may preserve a dependency relationship between the arbitrary (and possibly punitive) teacher/educator and the student who is relatively defenseless in the learning/teaching situation.

In dealing with students, we can provide the type of management style that is most appropriate for a particular student at a specific time. As a student acquires more confidence and experience, and as the teacher shifts from high task behavior to higher relationship behavior, the relationship should support more mature behavior and improved achievement. Thus, during a student's life cycle, student maturity and content mastery may be improved. Perhaps this kind of maturity is related to self-concept enhancement – an outcome much discussed in education.

A POSSIBLE TECHNIQUE FOR ENCOURAGING MATURE BEHAVIOR

Kurt Lewin (1947) spoke of the process of unfreezing, moving, and refreezing when changes in behavior are taking place. We might suggest a technique for this kind of change process which involves Greenwald's Direct Decision Therapy (1973) technique which was discussed earlier. Greenwald believes that behavior can be changed by deciding to change and providing payoffs designed to encourage changed behavior. This technique can be utilized to get workers, students, and managers to move from high task behavior toward an organizational environment that is more likely to meet self-actualization "needs." The first step is to show the people involved that new behavior is possible – that old ways will not necessarily yield the

best payoffs, and that a decision to change could result in improved payoffs.

The following example shows how this approach might be applied. Suppose that the teachers in Maxwell Junior High School have been teaching their respective subjects for an average of seven years. Although the principal is a nice person, he insists that the teachers prepare daily lesson plans and keeps accurate records of teacher tardiness, and/or early departures, the materials used in each class, and the number of children each teacher sends to his office for disciplinary action. The teachers are not too satisfied with the school environment – nor is the principal who considers the amount of time he has to spend on supervisory activities excessive.

When the principal's high task behavior (almost Child-Child behavior) is pointed out, his response is that the teachers' performance would be less satisfactory without constant supervision. For their part, the teachers state that they will only do what they are required to do – nothing more. It appears that an impasse has developed.

In applying the approach we have outlined to this situation, our first step should be to try to show the principal that his behavior generates specific results which could be changed if his behavior were changed. Assuming that he agrees, we would ask him to plot his behavior and the behavior of the teachers on the Life Cycle chart; see Figure 12.4 below:

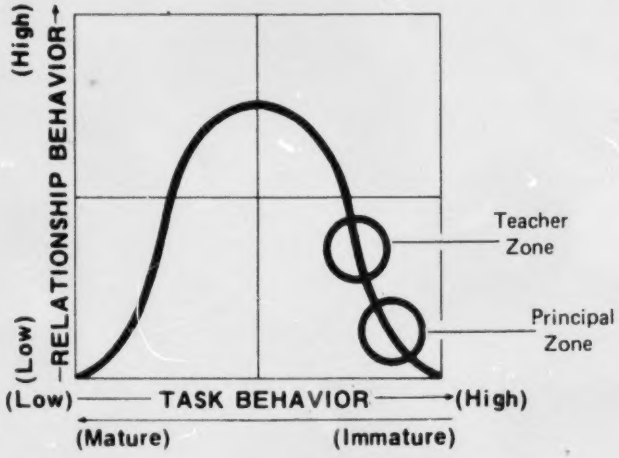


Figure 12.4 Principal/Teacher Positions in Maxwell Junior High School

Next, we would discuss the discrepancy between the two positions – where the principal locates his position and where he locates the teachers. He should then be encouraged to think of possible reasons for the discrepancy – these reasons might range from an insistance that he is behaving correctly to consideration of the possibility that his task behavior is higher than he had realized.

If the principal is interested in improving his transactions with the teachers he must decide how to close the management gap. He may decide to shift his own behavior to reflect a lower emphasis on tasks, he may decide to encourage the teachers to shift to lower relationship behavior and higher task behavior, or he may decide to try another approach. Once the principal has made a decision (let's suppose that he has decided to encourage the teachers to undertake more self-actualizing behavior), he must consider how the behavioral changes desired can be accomplished. The single most important step has already been taken, however; he has *decided* to change. Such a decision, according to Greenwald, is essential if any change is to be accomplished.

At this point, the principal should probably consider several options. One possible approach might be to expand "hygiene factors," i.e., higher pay, etc.; another might be to increase his use of "motivators," i.e., by providing the teachers with more praise and more opportunities for personal achievement. A third approach might be to change his management style from Child-Child to Adult-Adult. If he chooses to provide more "motivators," he will shift his management style toward Parent-Child or Adult-Adult behavior while the teachers are being encouraged and rewarded for more Adult behavior.

As we know, real life is never quite this simple, but we are trying to show you one way to approach the solution of management problems. We think that by combining the ideas of some of the humanistic theorists – Maslow (1970), McGregor (1960), Argyris (1964), and Herzberg (1966) – with the Hersey-Blanchard (1972) Life Cycle Theory, Berne's Transactional Analysis, and Greenwald's Direct Decision Therapy you may become a more successful educational manager.

SOME SPECIAL PEOPLE

Any body of knowledge and/or theory designed to integrate the ideas of a number of theorists is likely to involve some discrepancies. We have just provided some general guidelines and ideas which have to be fitted and tailored to specific situations. There are some cases where this formulation might not be useful, however, and we would like to share some of these caveats with you.

THE ENTREPRENEUR

We view the entrepreneur as a person who is constantly performing no matter what the situation. Some people might consider the entrepreneur an overachiever. Whatever the situation, the management style, or the activities of others, the entrepreneur is totally engaged and actively encourages others to become involved. He or she performs and expects to receive the rewards associated with performance.

A person like this is essential in any organization, for such a person will act when the opportunity arises. An entrepreneur is an individual force for change and, as such, should be fostered and nurtured. A certain number of entrepreneurs are essential in any group interested in successful change, but we are not certain about the proportion needed. If an organization has all entrepreneurs or no entrepreneurs, trouble can be expected; one entrepreneur or a few should facilitate success.

THE HUMANIST

We consider the humanist as the entrepreneur's complete opposite. The humanist does not work for money alone and is uninterested in material things. His or her behavior can be related to the "needs" at the higher levels of Maslow's hierarchy and this behavior balances that of the entrepreneur which can be related to the lower level "needs" described by Maslow.

Since "hygiene factors" play a minimal role in motivating the humanist, material rewards cannot be offered successfully. These people are interested in "human" kinds of concerns, feeling generally that Theory X approaches are dehumanizing, if not evil. The humanist and entrepreneur often do not understand each other; their values and the things that appeal to them are usually different. Humanists are good people to have in an organization because they will keep reminding everyone that people must be treated as people – not as things. They can be located on the left-hand side of the Life Cycle chart while the entrepreneur should be placed in the lower right-hand corner.

THE OUTGOING SOCIAL TYPE

Every group has some people of this type – gregarious with expansive personalities. They can be located in the upper left-hand corner of the Life Cycle chart. While they keep things lively, they really don't want to be bothered with any task requirements. Give them social responsibilities, for they are able to satisfy some of the important social "needs" located in the middle of Maslow's hierarchy.

GROUPS

By combining people of all types, you should be able to develop a truly balanced organization. Remember that people differ and specific organizations have varying needs for different kinds of people. All kinds of people are needed if an organization is to function; without this variety, very little can be accomplished. The managerial grid and Transactional Life Cycle Theory may help your group work together to achieve greater success – as long as you remember that an organization is made up of people and that those people will determine your success as a manager.

HYPOTHETICAL EXAMPLE

Members of the school board in the Blue Valley School District have accepted the recommendations of the superintendent and the teachers' association to implement a plan for individualizing learning in three elementary schools. Both the administrators and the teachers believe this change would be helpful. They have identified current student outcomes which are significantly lower than the achievement required for secondary schooling and for later life. Individualizing instruction appears to be an approach which can be used to change current student outcomes to the outcomes desired in terms of skills, knowledge, and attitudes.

These recommendations have been made at a time when the teachers and the administrators have not been getting along very well. The teachers have been talking about leaving the local teachers' association and joining a union in order to obtain collective bargaining rights. An assistant principal with a long history of poor relations with the teachers has been given responsibility for managing the project. This woman, as the project manager, has considered the situation carefully. She realizes that in the past she has experienced little success in giving orders to her subordinates rather than reasoning with them and asking for their opinions. She also notes that no objectives for individualized instruction are available which are stated in measurable performance terms. She is also aware of the fact that her own career is advancing very slowly – she would like to be promoted to a more creative and rewarding position. Using the Transactional Life Cycle Theory chart, she plots her own behavioral position and the positions of her new subordinates (in the project) on the chart – see Figure 12.5 on the following page.

The project manager is aware that objectivity and realism are critical in deciding where everyone, including herself, should be placed on the chart if her behavior and that of her subordinates is to be changed so that they can achieve success. She interprets the problem in terms of finding an approach whereby the teachers will accept responsibility for developing objectives stated in measurable performance

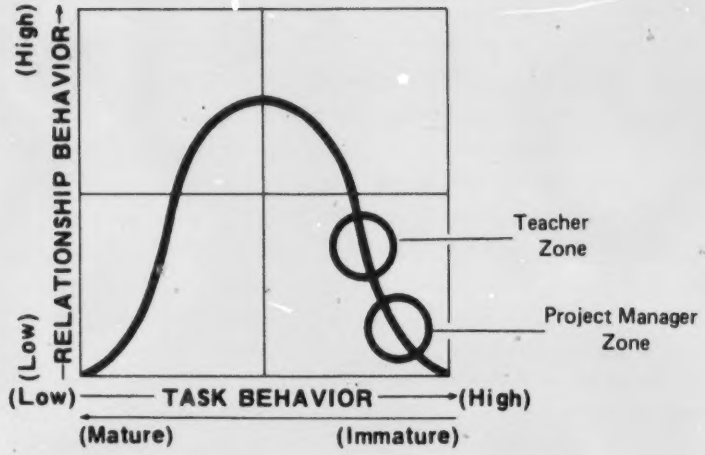


Figure 12.5 Analysis Chart Showing Positions of Project Manager and Teachers in the Hypothetical Example

terms so that they can decide upon the most appropriate techniques for successfully implementing individualized instruction. Her first thought is to request that each teacher prepare measurable objectives for each student, but she decides against this course. She realizes that such a request would be a continuation of her former Child behavior to which the teachers probably would give Child responses. Instead, she decides to take a chance by shifting her behavior from the Child position to the Parent.

After making this decision, she schedules a meeting with the teachers to discuss the project and her concerns and ask for their suggestions. Initially, the teachers are suspicious and respond by suggesting that a consultant be hired to do the job. The project manager, although she does not believe this will be helpful, agrees to hire a consultant. The consultant spends two days working with the teachers – when he leaves, they are still somewhat confused on how objectives should be written and they have begun to question the importance of written objectives. The project manager meets with the teachers a day later and says, "Try to develop some written objectives; as soon as you have a few objectives, discuss them. Then, if you don't think that they will be useful, just let me know and we will forget about writing objectives and try another approach."

The teachers accepted this suggestion and began writing objectives. The objectives developed are not uniformly measurable, but the project manager has made it a point to praise the teachers for the usable objectives and to offer them her assistance in their efforts to improve the objectives which are not adequate. The teachers are responding favorably to the project manager's changed behavior and are becoming more self-asssured and independent. As a group, they are able to help teachers in other district schools learn to write objectives stated in measurable performance terms, and their own behavior has shifted in such a way that their transactions are now characterized more by the Parent position than by the Child.

The project continues for three years, with the project manager giving praise and credit to both teachers and students for their respective accomplishments. Learning levels improve measurably; district personnel decide to implement individualized instruction in all district schools. The teachers who took part in the project are hired to provide in-service training for other teachers in the district and the project manager is promoted to the position of Assistant Superintendent for Program Planning and Development.

A FEW KEY CONCEPTS
CHAPTER 12: MANAGING FOR ORGANIZATIONAL SUCCESS

The Hersey-Blanchard Life Cycle Theory is based upon the ideas of various humanistic management theorists. It shows a possible approach to defining the maturity of a manager and to determining what management style would be most effective in a given situation.

In Life Cycle Theory the more immature the subordinate (or in the earlier stage of a job relationship) the higher the task behavior required. As the maturity of the workers and/or the relationship increases, less task behavior and more relationship behavior are possible. At the higher levels of maturity both task and relationship behaviors may be significantly reduced.

Manager-subordinate relationships are not static; therefore, task/relationship behaviors can be altered over time.

By adding some elements of Berne's concept of Transactional Analysis to the Hersey-Blanchard Life Cycle Theory, possible parallels may be noted between: high task behavior and Child-Child relationships; high relationship behavior and Parent-Child relationships; and low task/relationship behaviors and Adult-Adult relationships.

By changing our behavior as managers, we may achieve greater self-actualization for ourselves and our subordinates. We should try to shift to Adult-Adult relationships with our subordinates.

Changes in manager-subordinate relationships from high task behavior (Child-Child) to low task/relationship behaviors (Adult-Adult) should be carefully paced. Sudden attempted shifts might be extremely unsettling for everyone involved.

It is useful for a manager to analyze his or her behavior and that of subordinates in order to determine whether a change in management style is required.

Transactional Life Cycle Theory can also be applied to educator-student transactions.

It is possible that when applied, Transactional Life Cycle Theory may support a shift from Child-Child relationships to Adult-Adult relationships over a period of time. This approach might reduce the dependency of students and increase the self-actualizing behavior of teachers and students as well as that of managers and their subordinates.

Chapter 13

Applying Transactional Life Cycle Theory

In Chapter 12 we noted that the ideas of various humanistic management theorists have provided new ways of considering people, their work, and their productivity. Unlike earlier formulations in which workers were considered lazy and interested only in "hygiene factors," humanistic theories reflect the view that providing opportunities to increase esteem and self-actualization (using Maslow's terms) is an excellent way to motivate people.

Herzberg distinguishes between "hygiene factors" which are payoffs extrinsic to the job (e.g., money, surroundings, etc.) and "motivators" which are rewards intrinsic to the job. Increased attention to "hygiene factors" will not increase productivity – although their reduction or elimination will decrease performance levels. "Motivators," when they are enhanced, may increase productivity.

This approach seems to be diametrically opposed to the conventional wisdom shared by many people – including school board members, members of communities, and educational administrators. Many people believe that most workers are more interested in money than in anything else, although in the case of professional people they might agree that factors intrinsic rather than extrinsic to the job often provide the most effective rewards.

Blake and Mouton, who developed the managerial grid, described several types of managerial styles which can be used to analyze the behavior of different supervisors. They developed a grid which can be used to indicate the relative concern for people and concern for production exhibited in the managerial style of a given manager.

Hersey and Blanchard added Argyris' concept of an immaturity-maturity continuum to the Blake and Mouton managerial grid and developed the Life Cycle Theory model to show the relationship between a manager's leadership style and the maturity level of the workers.

Finally, we suggested Transactional Life Cycle Theory (TLCT) as a further model to be considered. It brings together the Hersey-Blanchard Life Cycle Theory and some of the basic elements of Berne's concept of Transactional Analysis. We

suggest that the various transactions between people (e.g., a supervisor and a subordinate) may be identified and analyzed in terms of their location in one of the four quadrants on the TLCT chart (page 137).

The application of the concepts of management theory to education is not simple. There are some differences in the ground rules; for instance, there is no true profit-making motive involved in education. The fact that there is no profit might be interpreted to mean that fewer rewards for exceptional performance are available; rewards, however, do not have to be limited to more money for more work. As educators, we cannot delay action until a perfect model is available. If something is worth doing, we should be willing to make the attempt – to the best of our *current* ability – even if our initial results are disappointing. Although the Transactional Life Cycle Theory presented here is hardly perfect – it is relatively new and untested – we think that it may be a useful tool which deserves your attention and use. This chapter is designed to show you how to use TLCT in the kind of situation you may encounter when you are attempting to organize for and/or manage educational change.

Read the hypothetical example that follows. After reading this example, you will be asked to analyze the behavior of the people involved and fill out a Transactional Life Cycle Theory chart indicating the zones in which they are operating.

HYPOTHETICAL EXAMPLE

Manager (M): "I know that many of us, myself included, would like to skip these pre-school meetings in August; unfortunately, we seem to have the same scheduling problems whenever we meet. As teachers, you have a great deal to do every day during the school year – preparing for your classes and evaluating progress – while I have the normal time-consuming administrative duties to perform which support our school. So here we are – at least the surroundings for our get-together are pleasant. The main purpose of this meeting is to discuss how we should implement the new accountability legislation. Our school, as you know, has been selected as a demonstration site to develop a needs assessment model that can be used in setting valid measurable student objectives. I hope all of you have read the materials which we sent to you. How many of you have?"

Teacher A (TA): "I've read about half of the material, but you should keep in mind that we don't get paid during the summer. Speaking for most of us, I think I can say that we don't like the extra work and we don't think setting objectives is worthwhile. The important elements in education can't be measured, but our state legislators seem to think that we can run a school the way a factory is operated.

Well, this is not a factory, and we're not factory workers."

Teacher B (TB): "I think that sums it up pretty well, at least for me. I don't like this accountability approach. Our school is all right the way it is."

Teacher C (TC): "Let's just fill out the papers and go on operating the same way. No one will ever know the difference. I wish the bureaucrats would let us handle our schools. They seem to have nothing to contribute but more red tape."

TB: "That's a good idea. Let's just fill out the papers and forget the whole thing. (Speaking to the Manager) Can you get us out of this? Maybe you can get them to change their minds."

M: "I was hoping you wouldn't react this way. I am trying to make sure that our school fulfills its obligations under this new program. Can't you help me? Why do you always react this way and put me in such an uncomfortable position? I am just trying to do my job; I try to help you, too. There is nothing I can do about this, although I wish there were. Come on, now. Let's all pitch in and decide how to handle the job."

TC: "That's easy for you to say, but you don't have 37 children showing up in your classroom every day. We just don't have the time for a project like this."

TA: "Yes, and the first thing we know the administration will be using this accountability information to decide whose contract is going to be extended or something. I just don't like the sound of the whole thing. How did we get involved in the first place? This approach hasn't been validated. No one else has used it. Why should we be the first ones to try it?"

TB: "I like our old lesson plans. Can't we just go on using them?"

TD: "I think we're letting ourselves get carried away. If we were to be honest, we would admit that we just don't want to be bothered with any changes. Can't we find a way to make this approach work for us and for our students?"

TA: "You can say that because you're in a good position with that mini-grant the district gave you last year. The rest of us have too much work already. Sometimes I feel like I'm working in a sweatshop."

M: "Can't we stop this bickering? I've been given definite instructions that we have to do this whether we like it or not. These arguments are not helpful. Can't we stop arguing and work together on this?"

TC: "Together? That's a laugh. You administrators seem to spend all of your time thinking up work for us. You don't have to do any work on this – except make sure that *we* do it."

TA: "Why don't you try teaching a classroom someday and find out what work really is. I was offered an administrative job once, but I said I'd rather work for a living."

M: "What do you mean, work! Do you know how much I have to do? I spend all my time filling out reports, meeting with alienated parents, attending conferences and workshops, ordering supplies . . . ."

TB: "Yes, workshops at resorts where you have a chance to play golf – while we stay here to work and try to help the children learn."

M: "I realize that teaching is a tough job, but this new approach is designed to make your work more relevant and more manageable. At first, it might just seem to be more work, but if we work together on this project we should be able to develop some really useful objectives."

TD: "That seems reasonable. Although sometimes I have my doubts, I think this project could have worthwhile results."

TA: "Well, maybe we can do it. I guess we have to do it. Why don't you tell us exactly what has to be done?"

TC: "All right, I'll cooperate, too. Just what do we have to do? I know you front office people have it all worked out; this meeting is just window dressing."

TB: "Do you have a plan we can follow to do the job?"

M: "Well, we do have a few ideas . . ."

TC: "I knew it. What's the plan?"

M: "Well, I thought we should work it out together so that we would all agree . . . ."

TB: "We're all professionals. Just let us see the plan and the forms, and we'll tell you whether or not we will do it."

TA: "We want to be sure it doesn't interfere with our academic freedom. Show it to us – we'll tell you what we think, believe me."

M: "I think it is an element of academic freedom for you to take part in developing our plans . . . ."

TC: "Without any outline or guide? I won't do it without that. I'm not going to spend my time doing your work!"

M: "I expected this. All right, here it is. Will someone turn off the lights – we do have a slide presentation that may be helpful."

USING THE TRANSACTIONAL LIFE CYCLE THEORY CHART

As we noted in Chapter 12, Transactional Life Cycle Theory evolved from a number of sources. Among them are: Blake and Mouton's managerial grid, the Hersey-Blanchard Life Cycle Theory, and some of the elements of Berne's concept of Transactional Analysis. By modifying the Life Cycle Theory chart to include

various types of transactions, we can illustrate three "zones" of behavior on a Transactional Life Cycle Theory chart:

A. Child-Child (or "stern" Parent-Child) zone
B. Parent-Parent (or "permissive" Parent-Child) zone
C. Adult-Adult zone

These zones can be located on the chart so that certain areas along the Life Cycle curve represent three basic types of transactions between a manager or supervisor and his or her subordinates. Figure 13.1 illustrates the placement of these three zones of behavior on the Transactional Life Cycle Theory chart.

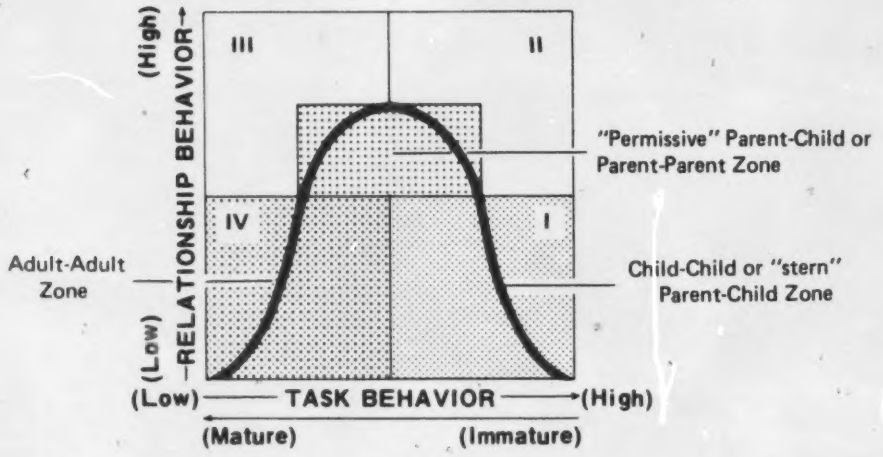
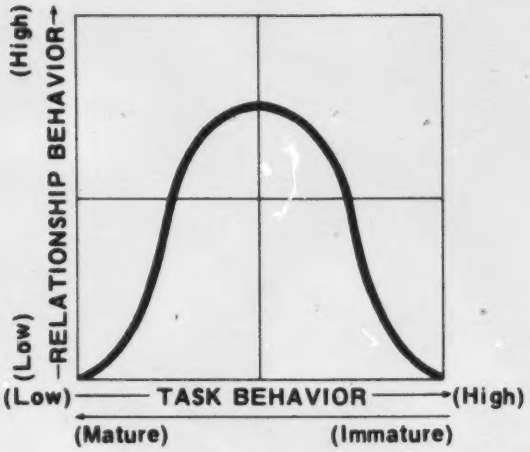


Figure 13.1 Transactional Life Cycle Theory Chart

A blank Transactional Life Cycle Theory chart is provided below. Use this chart to locate the positions of the manager and the teachers as reflected in the transactions reported in the hypothetical example. Be sure to label both zones, i.e., the manager's zone and the teachers' zone.



Now compare your chart with Figure 13.2 below.

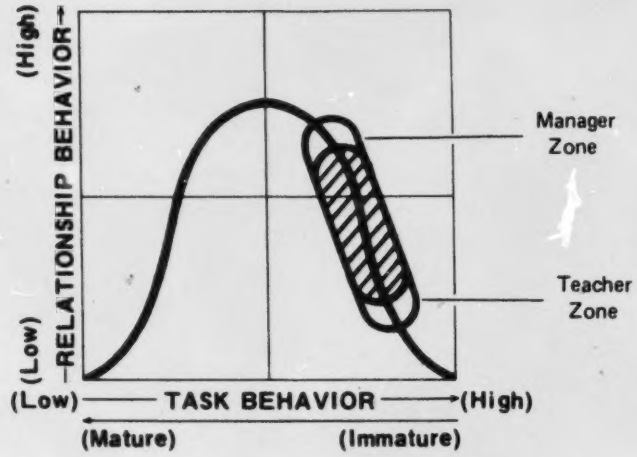


Figure 13.2 Transactional Life Cycle Theory Chart with Analysis of Transactions Described in the Hypothetical Example

The TLCT chart in Figure 13.2 graphically illustrates our analysis of the dialogue in the hypothetical example. The manager exhibited some Adult behavior at the beginning of the meeting but then began to vacillate between Child and Parent behavior. Thus, the manager's zone location is closer to Parent than is the teachers' zone.

Only one teacher (TD) consistently displayed Adult behavior. The other teachers generally communicated at the Child level, perhaps trying unconsciously to evoke a Parent response by the manager. Their zone location is closer to Child-Child behavior than is the manager's zone.

MOVING TOWARD ADULT-ADULT TRANSACTIONS

As noted previously, we believe that educational managers and subordinates should operate on an Adult-Adult basis. By analyzing various transactions, you can determine whatever gaps exist between your current position (and the results being achieved) and the Adult position (and the potential results of Adult behavior). You can use this type of behavioral gap analysis to plot the discrepancies between current and desired payoffs and to relate any discrepancies you find to the positions identified in your transactions. It is probable that as the number of transactions increases in which your behavior can be identified in terms of the Adult position, your success in working with (and for) other people as well as achieving your personal and organizational goals will also increase. Encourage your workers to consider their positions in the same way and discuss the positions taken in various transactions. Self-analysis and self-disclosure are useful when you are trying to shift transactions to more effective positions.

Consider the transactions reported below. This exchange suggests another approach which could have been taken in the meeting described in the hypothetical example.

M: "Needs assessment is a logical starting point. We can use it to develop solid information on current results which we can compare to the results we want to achieve. Also, for an effective needs assessment, we will have to document and substantiate our goals and objectives in real world terms. It is like a physician's diagnosis of our health after a general check-up. We have an opportunity to have our school play a leading role in this district, and we have set aside these three days so that we can work together to make needs assessment a useful part of our work."

TA: "I've heard a few comments about needs assessment and, frankly, they are not all good. Some people say it is dehumanizing, while others say it produces nothing but paper-work or that it is only another educational fad – of course, some

people claim it is the solution to all of our problems. I think it would be worthwhile to explore these different views to determine for ourselves how useful it is."

TB: "That's a good idea. We really don't know very much about it. Before we decide to use it, or even to reject it, we should find out everything we can about exactly what it is – and what it isn't."

TD: "Nothing is perfect. What I hear I like, but I agree with you – we should do some fact-finding before we decide how we can use it. We might want to adapt the approach for our purposes. The materials we received aren't too clear. A number of different words and terms are used, but the general ideas discussed are quite similar."

TC: "I have yet to be convinced, although I guess it won't hurt to find out more about it. But I warn you, it will take a good deal of convincing as far as I'm concerned."

M: "I would be disappointed if everyone accepted the idea uncritically. It took me some time to be convinced. Let me know what information you want and I will try to get it for you."

TB: "I suggest that we make up a chart of different approaches and consider all of them in relation to the job we have to do. That way, we can see how promising the different approaches seem and determine whether there are any gaps that none of them would cover."

TD: "Do you think we can identify all of the elements of what we want to do? That would be very difficult."

TB: "If we don't do it, who will? Members of the school board? I think we should at least make the attempt."

M: "Wait a minute. I have done some research on this, and I have a plan that I think will work."

TA: "I hear your Parent."

M: "What?"

TB: "Admit it. Your Parent was taking charge."

M: "I'm not sure that it was a good idea to start using TLCT. In the old days we just followed the golden rule – the person with the gold made the rules and I had the gold!"

TD: "That's your Child talking."

M: "You're right. Thanks for getting me back on the track."

TA: "All right. Now let's make up a list of all the tasks involved in a needs assessment (speaking to the Manager) – what did you call it – a general physical check-up? First, let's try to define what 'good health' is in education – at least what we feel it is."

TC: "Don't forget to consider the real world – the practical things a student will need to know and be able to do after leaving school."

M: "I have our district policy statements, together with the goals and objectives the parents and the administrators developed last year. Isn't that enough?"

TB: "It will help, Parent. But stop trying to control the discussion for awhile, will you? I think that material might be useful – but we should also include information from other sources to make sure that we don't include the bias of the administrators or the parents."

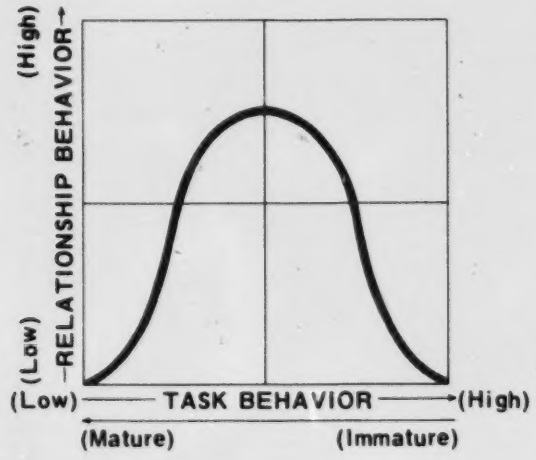
TD: "I agree. What about including the students – their lives are involved and I think they should take part in the planning."

TA: "If you want my opinion, I don't think the kids are interested – all they want to do is play. I don't think it would do any good to involve them. It would just be a waste of time."

TD: "That's your Parent talking. Students are human beings, too, and it is our responsibility to serve them and the community."

TA: "Maybe you're right. They might be able to make a contribution – with some guidance, of course."

Use the chart below to analyze the foregoing transactions. Indicate and label the manager's zone and the teachers' zone.



Now compare your chart with Figure 13.3 on the following page.

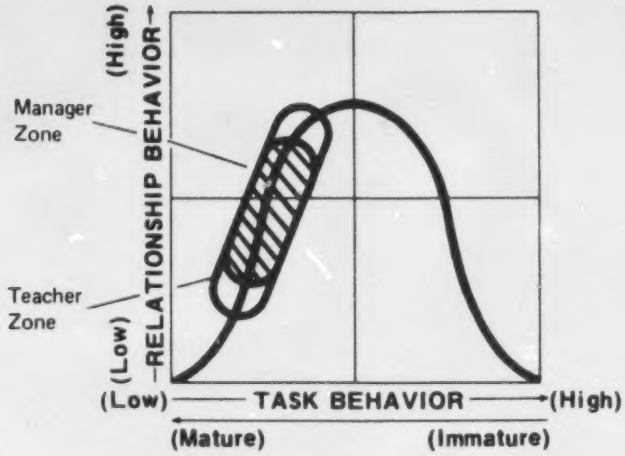


Figure 13.3 Transactional Life Cycle Theory Chart with Analysis of Transactions Described in the Revised Hypothetical Example

We can see from reviewing the dialogue that both the manager and the teachers have shifted their positions. Transactional Analysis is being used and they are working together more effectively. The dialogue shows that the teachers have shifted their positions more successfully than has the manager, as indicated in the analysis above.

The usefulness of this approach will depend in part upon you and your fellow educators. A joint commitment to put it into effect may result in successful behavior shifts by everyone concerned.

Chapter 14

System Planning and Transactional Life Cycle Theory

This chapter is designed to help you begin the job of managing change successfully, taking the various ideas discussed in this book into consideration. In terms of the key concepts presented in Chapter 3, the following checklist could be used as you analyze the hypothetical example presented in this chapter and, later, as you analyze the situation in your own educational system.

PLANNING FOR CHANGE CHECKLIST

_____1. The results (outcomes) currently being achieved have been stated in measurable performance terms.

_____2. The results (outcomes) desired when the student leaves the school/program/district have been stated in measurable performance terms.

_____3. These objectives are stated in measurable performance terms which include the following information.
   a. Who will display the behavior or performance required.
   b. What behavior or performance is required.
   c. What criteria will be used to assess performance.
   d. Under what conditions the required behavior will be displayed.

_____4. These objectives or outcome statements are all related to *what* is to be done – *how* these objectives are to be accomplished is not detailed.

_____5. A needs assessment has been carried out to determine what gaps exist between current results and desired results – these gaps may be referred to as needs.

_____6. Differences in the views of various members of the educational team (students, educators, and members of the community) on which needs are most pressing have been reconciled.

_____7. The gaps/needs identified have been discussed and ordered in terms of priority; the specific gaps to be closed have been selected.

_____8. A management plan (mission profile) has been prepared which shows the specific functions required to close any gaps identified and the order in which they should be performed.

The foregoing checklist is not exhaustive, but it can be a useful tool as you begin to plan for change systematically.

Review the following hypothetical example using the checklist provided to analyze the situation and determine possible approaches to the problem described. Then compare your analysis with ours.

HYPOTHETICAL EXAMPLE

Greene School is located in a suburban community where the socio-economic status of the population ranges from lower-middle to upper-middle class. Since innovation is the key word in this school, three different reading programs are currently in operation. There is no coordination among these programs, and none of them are operating very well. Teacher training is insufficient; usually a few hours are provided for this training instead of the several weeks recommended by the program developers. When the program developers visit the district to consult with the teaching staff, they are generally looked upon as a necessary evil rather than a helpful resource. Each teacher handles whatever reading program is being used in his or her own way, and the teachers occasionally debate the merits of their respective programs during lunch periods and coffee breaks. The programs are not being systematically compared to determine which gives the best results. Instead, such evaluation of program effectiveness as exists is based solely upon the judgments of the teachers (which are not based upon any sound comparative data).

Neither the principal nor the teachers have given any attention to the views of the one teacher who has a fairly valid overview of the three programs; he is seriously considering seeking another position.

There is little to indicate that the school is producing anything except a few innovative programs which can be shown to visitors, the superintendent, and members of the school board. In recent discussions, the principal has indicated that she is considering installing yet another innovative reading program.

POSSIBLE ANALYSIS

The educators in the Greene School have good intentions but there has been no systematic planning or identification of the results desired. Three different reading programs are being used at the same time, but no comparative evaluation has been made of the results being achieved.

The principal wants to install the best possible reading program, but her perspective does not support changing the organization to meet student needs.

This school is institutionally-oriented rather than student-oriented. The reading programs have been selected and installed on the basis of intuition and good intentions; there was no formal assessment to determine what was required.

We have little idea of how well the various programs are working since there has been no systematic evaluation of student skills, knowledge, and attitudes. The program managers don't know what they are trying to achieve so they are unable to judge what has been accomplished. To correct this situation, a systematic course of action which includes a formal needs assessment should be developed. It is important to begin by identifying the results desired (in measurable performance terms) on the basis of any needs identified so that a plan can be developed to change current results to the desired results. Below is a mission objective which we think the personnel in this school could follow to achieve the results desired.

> MISSION OBJECTIVE: Given a valid standardized achievement test in reading, by the end of the school year all students in the Greene School will have improved their reading scores from the current average of 1.3 years below grade level to a point where at least 90 percent of all students are at or above grade level. Reading levels will show no statistically significant variations which can be traced to differences in race, ethnicity, sex, or socio-economic status. Student skills, knowledge, and attitudes in other areas (i.e., mathematics and physical education) will remain at the same levels or improve.

Please turn to the following page for an exercise based upon the mission objective detailed above.

Read the GENERAL CHARACTERISTICS OF ANY OBJECTIVE listed below. Select the details from the mission objective (on page 163) which apply to each general characteristic listed. Fill in the appropriate information in the spaces provided below:

GENERAL CHARACTERISTICS OF ANY OBJECTIVE	DETAILS PROVIDED BY THE MISSION OBJECTIVE FOR THE HYPOTHETICAL EXAMPLE
1. It states exactly who will display the behavior or performance required.	
2. It states exactly what behavior or performance is required.	
3. It states exactly what criteria will be used to assess performance.	
4. It states exactly the conditions under which the required behavior will be displayed.	

Now compare your answers to those provided on the following page.

GENERAL CHARACTERISTICS OF ANY OBJECTIVE	DETAILS PROVIDED BY THE MISSION OBJECTIVE FOR THE HYPOTHETICAL EXAMPLE
1. It states exactly who will display the behavior or performance required.	All students in the Greene School (regardless of race, ethnicity, sex, or socio-economic status).
2. It states exactly what behavior or performance is required.	Improved reading scores with no concomitant reduction of scores or student skills, knowledge, and attitudes in other areas, such as mathematics, physical education, etc.
3. It states exactly what criteria will be used to assess performance.	Reading scores are to be improved from the current average of 1.3 years below grade level to a point where at least 90 percent of all students are at or above grade level.
4. It states exactly the conditions under which the required behavior will be displayed.	Given a valid standardized reading test at the end of the school year.

Managers using this approach for the first time often tend to include "solutions" in their measurable objectives. Can you determine what is wrong with the following mission objective?

> "By the end of the school year, an in-service training program will have been conducted to show the teachers and their assistants how to use the UNIFIED READING IMPROVEMENT materials and lesson plans so that there will be a measurable improvement in the teachers' knowledge about the materials and their ability to use them effectively."

Use the checklist provided on page 161 to analyze the mission objective detailed on page 165. What are some of the shortcomings of this objective? Write your answer in the space provided below:

Here are some of the shortcomings of the mission objective detailed on page 165.

1. It includes a solution by indicating *how* reading improvement is to be achieved (i.e., with UNIFIED READING IMPROVEMENT materials).
2. It contains no criteria to be used to assess performance, nor does it explain what is meant by the phrase "so that there will be a measurable improvement in the teachers' knowledge about the materials and their ability to use them effectively."
3. It assumes that if the teachers and teaching assistants understand the materials the students will learn. Decisions on the tools and procedures to be used should not be made until student objectives have been detailed in measurable performance terms.

This is a well-intentioned but inadequate objective. Although it specifies when the training program is to be completed (by the end of the school year), it limits the possibilities of improving student performance through the selection of a solution before the current and desired results have been detailed in measurable performance terms.

Compare the mission objective analyzed above with the mission objective we thought the personnel in Greene School could follow to achieve the results desired (see page 163). We cannot overemphasize the importance of separating possible solutions from the desired results; we should be sure that both current and desired results have been stated in measurable performance terms before deciding exactly how we may be able to achieve those outcomes. Trying to select a solution before the desired results have been specified is like ordering a week's supply of food without knowing how many people are to be fed or what kinds of meals are to be served. Even a highly-experienced grocer will be unable to fill your order without knowing what your food requirements are.

For further information on preparing objectives, you might wish to read *Preparing Instructional Objectives* (Mager, 1962) and Chapter Four of *Educational System Planning* (Kaufman, 1972).

THE MANAGEMENT PLAN

In Chapter 3, we discussed the development and use of management plans. A management plan may be illustrated as a mission profile which provides a way of showing the functions to be performed to achieve the mission objective – to bridge the gap between current results (or outcomes) and the results desired; it does not

show *how* we are going to accomplish those functions. Following a management plan can be compared to crossing a bridge: each step brings us closer to the desired results. Since a management plan (or mission profile) is a planning tool, our responsibility is to make sure that all of the functions required have been included without specifying how they are to be performed.

The mission profile on the following pages was developed for the mission objective detailed on page 163. Read through the mission profile, keeping in mind that it only indicates what *functions are to be performed; it does not show* how *they will be accomplished.*

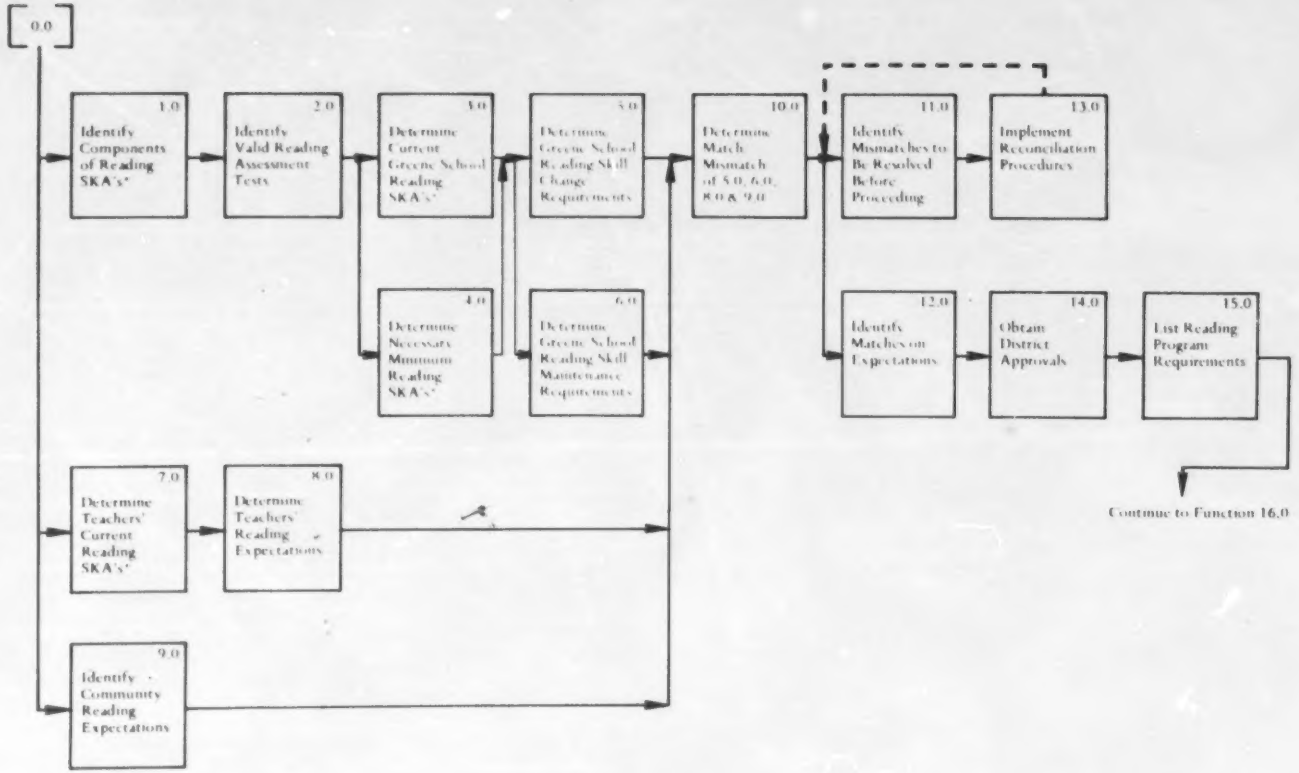


Figure 14.1 Mission Profile Prepared for the Mission Objective Detailed on page 163

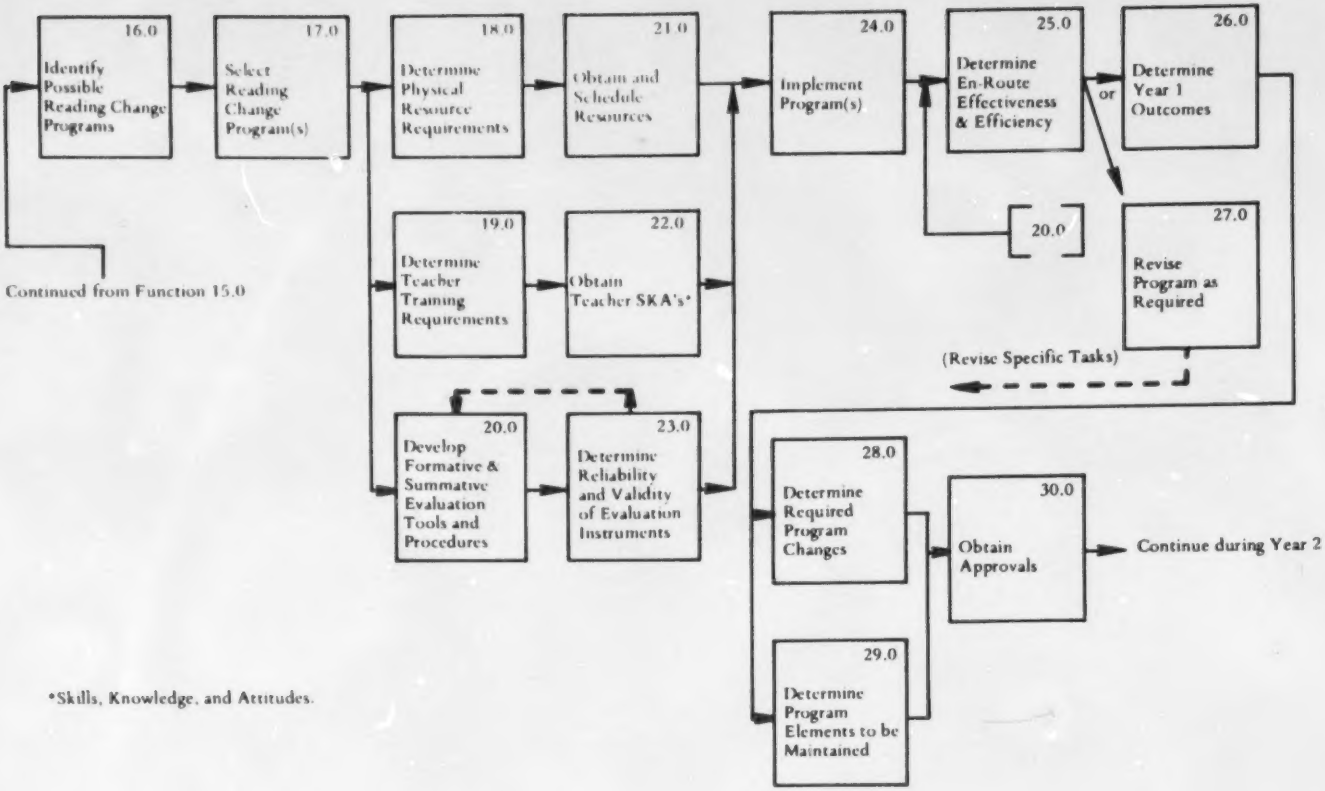


Figure 14.1 Mission Profile Prepared for the Mission Objective Detailed on page 163 (continued)

The foregoing mission profile illustrates the functions to be performed in attempting to change the current results to the desired results described in the mission objective. You can determine the usefulness of a mission profile by comparing it to the mission objective to see if the functions outlined (if performed properly and in the correct sequence) will be useful in achieving your mission objective. If your mission profile will be helpful, use it; if it will not, revise it as required.

In reviewing the mission profile, note the order in which the thirty functions are listed. Do the functions seem reasonable? Are they logically related to each other? Do the functions related to specific groups (i.e., the students, teachers, and members of the community) seem reasonable? Is anything missing? Check the mission profile carefully – it should be logical as well as useful.

Another approach you may wish to use in checking the completeness of your mission profile might be to determine whether all six steps included in the system approach process are covered. This process is illustrated on page 30 of Chapter 3.

On the following pages, the foregoing mission profile has been analyzed in terms of the six-step system approach process.

Step in System Approach Process	**Functions Included in the Mission Profile (Figure 14.1)**
1.0 Identify Problem (from Needs)	The differences in results obtained in performing Functions 3.0 and 4.0 identify existing gaps or needs. (These functions, in turn, are based upon the information gathered in performing Functions 1.0 and 2.0.)
	The differences between Functions 7.0 and 8.0 identify gaps related to the teachers. They show the discrepancies between the teachers' current abilities and their expectations. The differences between Functions 5.0 and 6.0 identify what is required to achieve student change.

Step in System Approach Process	Functions Included in the Mission Profile (Figure 14.1)
1.0 Identify Problem (from Needs) (continued)	The differences between Function 9.0 and Functions 5.0 and 6.0 identify the gaps between community expectations and the student requirements identified in performing Functions 5.0 and 6.0. Function 10.0 is also related to problem identification, since it is designed to identify areas of similarity and discrepancy in the information gathered which is related to the students (Functions 1.0 to 6.0), the teachers (Functions 7.0 and 8.0), and members of the community (Function 9.0). Functions 11.0 and 13.0 are performed to reconcile any discrepancies or mismatches identified in performing Function 10.0. This is an extremely important step since reconciling discrepant views could make the difference between success and failure.
2.0 Determine Solution Requirements and Identify Solution Alternatives	Functions 12.0, 14.0 and 15.0 are related to establishing agreed-upon requirements expected to achieve the desired results. Function 16.0 is performed to identify suitable reading change programs so that the actual program to be used can be selected at a later time.
3.0 Select Solution Strategies from Alternatives	In performing Function 17.0, a program is selected which meets all of the requirements identified in performing all of the foregoing functions.

Step in System Approach Process	Functions Included in the Mission Profile (Figure 14.1)
4.0 Implement Selected Strategies	Functions 18.0 and 21.0 are related to acquiring and scheduling the resources required for the program selected.
	Functions 19.0 and 22.0 are related to providing the teachers whatever training is necessary to develop the skills required to implement the change program selected (*if* a discrepancy was identified in connection with the performance of Functions 7.0 and 8.0).
	Functions 20.0 and 23.0 involve developing the formative and summative evaluation tools and procedures required (see Chapter 4).
	In performing Function 24.0, the change program selected is implemented.
5.0 Determine Performance Effectiveness	Function 26.0 involves performing a summative evaluation at the end of Year 1. This evaluation, in turn, will provide the information required to perform Functions 28.0, 29.0, and 30.0 *before* continuing to Year 2.
6.0 Revise as Required	Functions 25.0 and 27.0 are related to the revision process. (As the various functions included in the mission profile are performed, of course, each function may involve decisions on whether to continue or revise your approach. In effect, therefore, all of the functions are related to formative evaluation.)

This management plan can be considered complete if the functions outlined can be expected to contribute to the achievement of the mission objective.

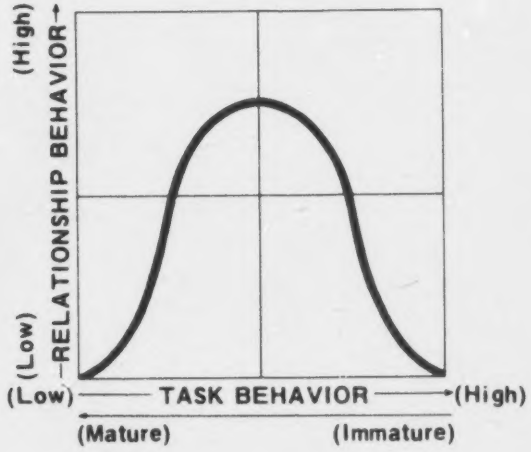
SYSTEM PLANNING AND TRANSACTIONAL LIFE CYCLE THEORY

As noted earlier, comparing current results to the results desired is useless unless we have a detailed plan for change. In the mission profile presented in Figure 14.1, we noted that by performing Functions 19.0 and 22.0 we could determine what changes are required in teacher behavior and/or skills if they are to implement the selected change program successfully. When these functions are performed, any necessary changes in the transactions between the teachers and the change manager should also be identified. Where discrepancies exist, efforts to shift behavior in order to improve those transactions should be included in Functions 19.0 and 22.0.

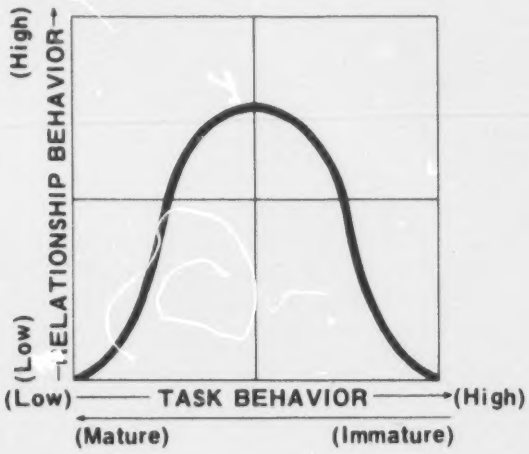
Note that any efforts to change teacher behaviors and/or skills would be undertaken only after a complete analysis of the teachers' skills, knowledge, and attitudes had been conducted in terms of the mission objective. Teacher training should not be undertaken as a general activity; rather, it should be directly related to the development of whatever skills are required to accomplish the mission objective and related to the people involved and the ways in which they interact.

We would like to relate system planning and Transactional Life Cycle Theory to the hypothetical situation in the Greene School.

Use the chart below to analyze the behavior of the principal in the Greene School (see pages 162-163). Indicate and label both the way her subordinates view her behavior and the way the principal views her own behavior.



Now use the chart below to analyze the behavior of the teachers in the Greene School. Indicate and label both the way the principal views the teachers' behavior and the way the teachers view their own behavior.



POSSIBLE ANALYSIS

We cannot be sure what relative positions the principal and the teachers in the Greene School are taking; we can only guess. The following is our analysis: the principal at Greene School considers herself to be minimally task-oriented while the teachers probably consider her behavior closely related to the Child position. This analysis is illustrated on the chart below:

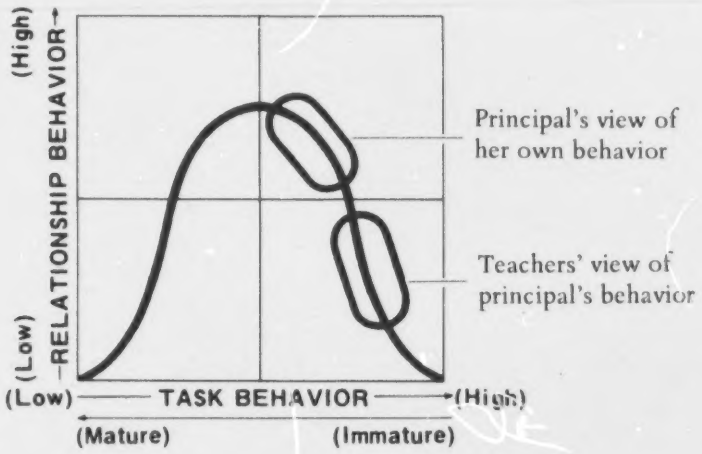


Figure 14.2 TLCT Chart Showing Principal's and Teachers' Views of Principal's Behavior

The teachers probably consider their behavior more relationship-oriented than the principal and view themselves as closer to the Parent position while the principal considers their behavior more task-oriented. This analysis is illustrated on the chart on the next page.

If we compare the perceptions indicated on each chart, we can identify gaps related to:

(1) the way the principal and the teachers view the principal's behavior (Figure 14.2), and
(2) the way the teachers and the principal view the teachers' behavior (Figure 14.3).

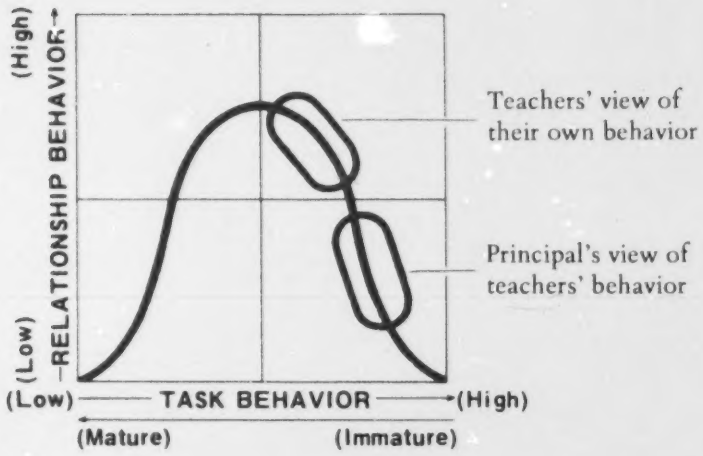


Figure 14.3 TLCT Chart Showing Teachers' and Principal's Views of Teachers' Behavior

Hopefully, an examination of both charts by everyone involved should support agreement to change – in Greenwald's terms, such agreement can result if everyone examines the payoffs he or she is currently receiving, determines what improved payoffs may be possible, and then decides to change. An analysis of possible current payoffs for the principal and the teachers in the Greene School begins below.

POSSIBLE PAYOFFS IN THE CURRENT SITUATION

Positive Payoffs for the Principal

"I can disclaim responsibility for any problems that develop while taking credit for any innovations that members of the school board seem to like. The administration hasn't bothered me at all and, luckily, we have been able to avoid doing any evaluations. The teachers have been relatively quiet, and we have had no complaints from the parents or others in the community. Although our activities are uncoordinated, the teachers are satisfied to depend upon me as a leader, and I enjoy my leadership position."

Negative Payoffs for the Principal

"The teacher who is resigning might draw attention to the fact that the students here may not be accomplishing very much. I have to keep an eye on the teachers to make sure they always do what they are supposed to do. At the same time, I am limited by what the teachers want in the way of new programs; this is embarrassing because they don't seem to believe that I'm really the boss. My professional reputation in certain quarters may be harmed to some extent by the fact that we use consultants so frequently – no one seems to understand the position I am in, and I suspect they think I have problems and can't manage our school effectively. Accountability is being emphasized more and more, especially by state legislators, and it doesn't seem that, as educators, our efforts to discourage that emphasis are going to be successful. I may have trouble accounting for the results we are achieving (or not achieving) with our reading programs. I really don't know what we are accomplishing. Some of the results seem satisfactory, but I'm not sure about some of the others. I worry a great deal about the whole situation."

Positive Payoffs for the Teachers

"We have a great deal of freedom here, and we get almost everything we want. At times the principal almost seems to be afraid of us, and instead of arguing about our requests she just passes the buck to the administration, so we usually get what we want. As things stand now, we are not accountable to anyone for our performance – as long as we arrive on time, don't leave early, and don't receive any complaints from the parents."

Negative Payoffs for the Teachers

"We don't get any recognition for anything we do – every time things start to go smoothly, a new program is brought in, and we have to rush through a training program which just confuses us; then before the new program is established we have to take on something else. The children don't seem to be reading as well as we would like them to – maybe that is because we have changed programs so often. We don't even get much recognition from the principal for our professional achievements, and she seems to ignore our suggestions for new programs – we just don't seem to be getting anywhere. Often we don't feel like professionals – we feel like pawns who are just implementing new programs and providing recognition for the principal. It's getting to the point where we teachers aren't even getting along very well with each other."

Our analysis of the TLCT charts provided in Figures 14.2 and 14.3 indicated discrepancies in perceptions of the principal's behavior and the teachers' behavior. If their respective behaviors were changed, other changes might occur – in the way they all feel and act as well as in the level of their educational accomplishments or productivity.

Once a mission objective and a mission profile have been developed for achieving goals or objectives which everyone involved supports, the reading program or programs selected can be implemented. Before the programs are implemented, teacher training should be provided which is directly related to the teachers' current skills, knowledge, and attitudes and the skills required to implement the new program(s) successfully. (Decisions on the teacher training required should be made after performing Functions 7.0, 8.0, 10.0, 15.0, 19.0 and 22.0 in the mission profile.) At this point, there should be general agreement on all plans, procedures, and specifications for the achievement of objectives.

SHIFTING TRANSACTIONS

The people involved and their interpersonal relationships will be critical in achieving your mission objective; each person involved must be an active participant in the change process. We should consider, therefore, some of the ways in which transactions can and should be improved.

In the chapters on human motivation (Chapters 5 and 7), we discussed motivating people by providing more money or better work facilities – what Herzberg might call "hygiene factors." This approach is not very promising, however, since most "hygiene factors" (e.g., salary and fringe benefits) are already provided; differential reinforcement with money (merit pay) does not seem to be a likely alternative. In any event (following Herzberg), giving increased attention to "hygiene factors" will not increase productivity although their reduction or absence will decrease performance levels. Other approaches are required.

Work experiences that provide people with opportunities to meet their "needs" for esteem and self-actualization (the higher-order "needs" in Maslow's hierarchy) could be a source of positive change. The teachers and the principal from the Greene School should meet to discuss the situation and analyze the differences in their perceptions of their respective behavior as illustrated in the Transactional Life Cycle Theory charts (Figures 14.2 and 14.3). This discussion should include consideration of the payoffs everyone is currently receiving and the possibilities that new and more satisfying payoffs might result from behavioral changes that enable them to achieve their mission objective more successfully. The mutual respect and

self-esteem generated by this process may also enhance the probability that both the principal and the teachers will be able to move toward self-actualization.

One possible disadvantage associated with the shift to a Theory Y management style is that it might be unsettling for people accustomed to a more authoritarian management style. Another problem might develop if the people involved are "linear" thinkers – i.e., if they are accustomed to following linear (step-by-step) checklists expected to lead to instant, unqualified, educational success – a single solution approach based upon the overly ambitious claims associated with some simple procedures. People whose thinking and training support a linear approach might express great apprehension and reluctance to even attempt either the approach suggested here or a systematic effort to improve their transactions by changing their behavior.

We believe it is very worthwhile to hold a meeting to discuss the situation and analyze current transactions in an attempt to improve both personal relationships and work experiences. In such a meeting, current payoffs should also be analyzed by the teachers and the principal. An honest discussion should take place with full disclosure of what is going on and why. Enough time should be scheduled for these discussions to enable the people involved to achieve understanding and develop some commitment to the idea of at least trying a new approach.

An analysis of possible future payoffs – based on the assumption that the teachers and principal decide to change their behavior (and their transactions) to achieve their mission objective more successfully begins below.

POSSIBLE PAYOFFS IN THE DESIRED SITUATION

Positive Payoffs for the Principal

"I wouldn't be so worried about the results of our reading programs – or our other programs – we would know exactly what we are trying to achieve, what each person's responsibilities are, when each task has to be performed, and what results are being achieved. I could spend more time helping the teachers work with the students. Also, I wouldn't have to keep looking for new programs – I would be able to select alternative programs and methods systematically and, even better, I would be able to determine where revisions are needed. I believe that by following this approach I would receive more recognition from the administration, our visitors, and the consultants who visit us and that my professional reputation would be enhanced. Also, in terms of the accountability movement, this approach will really put the teachers and me in a good position – we will be more professional, and we will improve our ability to achieve our

objectives. The students will really be learning and, after all, that's why I entered the educational field."

Negative Payoffs for the Principal

"A change like this is somewhat frightening. With the new approach I would know what's going on and, although I don't like everything about it and there are some possible problems, at least they are predictable – I really don't know for sure what will happen if we make this change. I may be criticized by some of my colleagues and professional associates for trying something that is untested; although it seems reasonable, many of my associates, especially those in the universities, prefer to use approaches which have been tested over a long period of time. Since I've never done anything like this before I don't know what to expect. It makes me nervous."

Positive Payoffs for the Teachers

"It is about time that we were treated like professionals – instead of children. This approach seems to make this change possible. It appears that this approach would give us greater freedom while at the same time we would know what we are trying to achieve. We can be both professional and accountable, and they say that evaluation will be used to improve the program – not to take punitive action against us – and that seems reasonable. We think everyone would get along better with this new system, too. Really, we think that this approach will help us in what we are trying to do – help children. We don't have to be afraid of failing since, even if we do fail, this approach will provide the information we need to revise our plans and achieve our objectives."

Negative Payoffs for the Teachers

"Our principal is always suggesting new approaches, but nothing ever really changes. Maybe this is just another idea that won't work. If we cooperate and reveal ourselves and our weaknesses, she may use that information against us. We will have to be very careful at first. Such a big change is pretty scarey – we really don't like change very much. We have our jobs, and since we have tenure no one is in a position to fire us; this new approach might be pretty unsettling."

MAKING THE CHANGES

Possible payoffs in the current situation and the desired situation should be discussed openly and freely in terms of the following questions:

1. What is the mission objective?

2. Are we willing to change our behavior in order to achieve the results desired?

Change can only result from an explicit decison to change. It might be useful to review the seven steps discussed by Greenwald in making decisions to change. Assess your current behavior using the concepts of Transactional Analysis to analyze your transactions and to determine how they might be improved if you shift to more Adult behavior.

Next, try to change your behavior in the desired direction. Periodically, complete and analyze a Transactional Life Cycle Theory chart to determine whether there has been any change. If no changes seem to be occurring, get together with your colleagues to analyze your behavior and the associated payoffs again. If some changes have taken place, check to determine whether or not they have been sufficient. Use the evaluation procedures included in your mission profile to determine whether the students are performing as desired, since changes in student performance are the ultimate objective. Student skills, knowledge, and attitudes are central to any change efforts in education. We have emphasized planning and interpersonal relationships because we feel this approach can improve the education being offered to our students.

Chapter 15

Summary

INTRODUCTION

Acceptance of the idea of designing change through the humane involvement of people does not guarantee success. Successful change is only possible through planning and responsible action. This book is designed to present and discuss some useful concepts and ideas from the extensive literature on human behavior and planned change. The general topics discussed are reviewed briefly in this final chapter.

ACTING FOR CHANGE

Change is inevitable. Changes designed to improve the human condition through the achievement of improved results should be carefully planned and goal-oriented – involving action by and for the people involved. What is considered change in most schools is usually reaction. Rather than initiating action ourselves, when demands are made upon us to change, we react to those demands. Simply reacting to change is wasteful and inefficient and seldom leads to results which are related to any basic problems that exist. Changes should be planned to improve – measurably – our students' chances for survival and their future contributions – to themselves and to others. Educational change should be planned on the basis of deliberate decisions about what changes are required to meet the needs of all members of the educational team: students, educators, and members of the community.

GOALS, NEEDS, AND VALUES

Social institutions tend to pursue organizational survival by attempting to maintain the status quo. School systems, as social organizations, also tend to resist change. People want to survive – and organizations are made up of people. In order to manage change successfully, we must find ways to reverse this resistance to change and to make sure that the people who make up an educational organization receive new and improved rewards for supporting the changes planned.

The formal process referred to as needs assessment is a very useful tool for determining and planning changes acceptable to all members of the educational team and making sure that there is cooperation and a joint commitment to the student-oriented changes planned.

A needs assessment should include all members of the educational team – students, educators, and members of the community – in an attempt to achieve consensus on goals and purposes. In conducting a needs assessment, we suggest that the gaps between current results and desired results be specified by each group involved, e.g., students. The gaps or needs upon which there is general agreement are listed, and any disagreements or mismatches are reconciled.

We believe that needs assessment should provide both shared goals and a basis for planning change that is rooted in reality, rather than one which reflects the biases and/or orientations of members of any one of the participating groups. Information on the student skills, knowledge, and attitudes required for survival and contribution in the real world after leaving school should also be included. This information should then be compared to the gaps or needs specified by various members of the educational team. This comparison can be used to make sure that the perceptions of various members of the educational team are related to both the current imperatives and the predicted future of the real world the students will be entering. Without this type of information, needs assessment may be no more than an exercise in shared fantasy.

If needs assessment is to be useful, information on the values and value patterns of all members of the educational team should also be included since values affect human behavior. In order to plan and manage change effectively, human values as well as organizational purposes must be considered so that both humanism and productivity can be achieved.

PLANNING FOR CHANGE

Chapter 3 contains information on an organized, systematic, and humane approach to planning student-oriented change successfully. As noted in Chapter 1, people can react to change or act and become leaders in the change process – we believe it is better to act. In order to manage change successfully, we must decide to change and commit ourselves individually and collectively to changing. In Chapter 2, we noted the importance of verifying that our goals and objectives are valid and are shared by all members of the educational team.

In Chapter 3, various planning devices are discussed which can be used in achieving the results desired in an orderly and systematic manner. Our basic

emphasis is on planning – to provide some general guidelines you may use in planning for change. The planning devices described include those detailed below:

Mission objective – a detailed statement of a given objective (based upon needs assessment) which includes measurable criteria for assessing success. (See pages 22-24.)

Mission profile – an overall management plan which illustrates all of the functions involved in achieving the mission objective. It indicates *what* is to be done but not *how* it is to be accomplished. (See pages 25-29.)

System approach process – a six-step process which can be followed to achieve objectives specified on the basis of an evaluation of current needs. (See page 30.)

Program Evaluation Review Technique (PERT) – a management control tool which is especially useful after decisions have been made on what is to be done and how it is to be done. (See page 31.)

Gantt Chart – a chart that can be used to prepare time estimates for the various functions involved in an overall change program. (See page 29.)

Linear Responsibility Chart – an organizational charting technique that can be used to indicate how the responsibilities of people in various positions are related to specific functions. (See pages 34-38.)

Effective planning makes it possible to organize people to achieve common objectives in an efficient and ultimately effective way.

DEFINING AND MEASURING SUCCESS

In planning change, it is essential that we determine what we want to achieve (the product) before we decide how best to accomplish our goal (the process). In order to manage change successfully, both the results desired and the processes to be used must be defined. Chapter 4 is designed to present a way of defining desired outcomes or objectives in measurable performance terms, which include the criteria to be used in determining success or failure in changing student skills, knowledge, and attitudes. Those of us in education frequently give a great deal of attention to process considerations while not specifying what we want to achieve or how we plan to assess our performance.

Useful evaluation is only possible when objectives are clearly stated in measurable performance terms. The three kinds of evaluation briefly defined below can be useful in managing educational change:

Formative evaluation can be used to determine how well or how poorly we are doing *while* we are pursuing our objectives.

Summative evaluation provides information on the final level of achievement of the measurable objectives identified in a needs assessment.

Goal-free evaluation is designed to identify outcomes which were either unexpected and/or not made explicit in original planning activities.

There is a direct relationship between planning and evaluation; the specification of successful performance as well as how it is to be determined are critical factors in the successful management of change. We have to know what we want to achieve, how we will know when we have succeeded, and how well we are progressing so that we can make appropriate adjustments in our activities and resources as we go along. We plan our activities and resources on the basis of the results desired; we use formative evaluation to determine what modifications are required; and we finally use summative evaluation to determine how well we have achieved our objectives.

MOTIVATION AND THE INDIVIDUAL

Personal motivation deserves attention by anyone interested in planning for change since most people are interested in the advantages to them in any new course of action. Maslow has described a hierarchy of "needs" which can be useful in understanding individual motivation and behavior. The five levels of "needs" described by Maslow are: physiological, safety/security, belongingness (social), esteem/recognition, and self-actualization. Generally, lower level "needs" must be satisfied before higher level "needs" supplant them. Professional recognition, for instance, may mean little to someone who is starving.

Useful discussions of interpersonal behavior are provided in Berne's concept of Transactional Analysis. We can use some elements of the TA concept to examine our own behavior and the behavior of others in terms of three basic ego states – Adult, Parent, and Child. We can learn to improve our transactions with others by shifting our behavior to a different position or ego state.

Herzberg's ideas support Maslow's analysis of the various "needs" which affect individual motivation and behavior. He discusses two types of rewards that influence behavior: "hygiene factors" (salary, fringe benefits, working conditions, etc.) which

are external to the job and "motivators" (recognition, responsibility, etc.) which are intrinsic to the job. "Hygiene factors" can be related to the first three levels of "needs" in Maslow's hierarchy while "motivators" can be related to the two highest levels. Productivity will not be increased if "hygiene factors" are expanded, although if they are decreased, performance will deteriorate. "Motivators," on the other hand, may increase productivity. In education, "hygiene factors" seem to be emphasized. An important step in managing change and improving performance could be related to the installation and use of "motivators" in educational organizations.

THE CONTEXT OF MOTIVATION

The management approach within most organizations can be related to one of two unstated sets of assumptions about people and/or workers: (1) Theory X: since the average person inherently dislikes work and will avoid it if possible, workers must be directed and coerced if organizational objectives are to be achieved or (2) Theory Y: since people have intrinsic dignity and value as well as a desire to work, the integration of individual and organizational goals is possible. McGregor formulated Theory X and Theory Y to contrast these two management approaches. Similar contrasts can be identified in the ideas of Argyris, Herzberg, and some other humanistic management theorists. They emphasize the view that managers can improve productivity by treating workers as having dignity and worth and encouraging interaction, involvement, and freedom among their subordinates. This is important in the current educational environment where the management approach seems to be based upon a set of Theory X assumptions and most motivational efforts can be related to the lower level "needs" included in Maslow's hierarchy. To improve the environment, we should make use of the kinds of rewards that Herzberg identifies as "motivators" – rewards which provide opportunities to satisfy the esteem and self-actualization "needs" included in Maslow's hierarchy. Unless the organizational environment can be improved, educational change cannot be successfully implemented.

LEADERSHIP MODELS

Leadership is a situational matter, not an inherent ability. Different kinds of leaders are required for different situations. Blake and Mouton's managerial grid illustrates five leadership or management styles in terms of relative concern for production and concern for people. The Ohio State leadership grid illustrates leadership styles which differ in terms of emphasis on initiating structure and on consideration for people. Although neither of these models deals with the fact that the effectiveness of any management style will depend upon its appropriateness for

the workers involved, they can be used to describe a given leader's management style by studying the relative task and relationship behavior he or she exhibits.

SUCCESSFUL LEADERSHIP

Successful leaders develop an awareness of the concerns, "needs," expectations, and perceptions of their subordinates. Effective leadership also involves sharing decision-making responsibility so that subordinates become involved in the pursuit of organizational goals. The personal success of a given leader will be affected by the subordinates he or she selects.

MANAGING FOR ORGANIZATIONAL SUCCESS

The key to managerial success lies in effective interactions between and among managers and their subordinates. People are dynamic, and their interactions are dynamic. The Hersey-Blanchard Life Cycle Theory is based upon the ideas of various humanistic theorists. The Life Cycle curve on the managerial grid can be used to determine the most effective task/relationship behaviors for a supervisor. By following the curve from right to left, appropriate leadership behavior can be plotted. Immature or starting relationships require high task behavior and low relationship behavior. As the relationships and/or the subordinates mature, task behavior can be decreased as relationship behavior is increased. With maturity, both task and relationship behaviors may be decreased.

We have integrated some elements of Berne's Transactional Analysis concept with the Hersey-Blanchard Life Cycle Theory. Teachers and supervisors may use Transactional Life Cycle Theory (TLCT) based on this integration to assess their transactions. By plotting the behavior and relationships of the people involved in specific transactions, discrepancies between current and desired outcomes may be determined. As the people involved become aware of different behavioral possibilities, a decision to change may become more probable. The analysis of behavior with a TLCT chart may provide an approach which managers can use in assessing transactions and developing an awareness of how changes in their own behavior may affect the behavior of others.

It is important to emphasize that Transactional Life Cycle Theory is only intended for use in improving transactions in an organizational setting – it is not suitable for use in the context of personal relationships since the worker-supervisor elements of TLCT would not apply. Also, it is extremely important to relate any planned changes in behavior and transactions to organizational outcomes or objectives which everyone supports – without such goals and/or objectives, the attempt to implement change is without purpose.

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